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ABSTRACT

The sixth volume of the introduction to psychology and leadership course (see the final reports which summarize the development project, EM 010 418, EM 010 419, and EM 010 484) concentrates on authority and responsibility and is presented in two separate documents. It is a self-instructional linear text with information and quizzes. EM 010 433 is the second document in the volume, and EM 010 420 through EM 010 447 and EM 010 451 through EM 010 512 are related documents. (SH)

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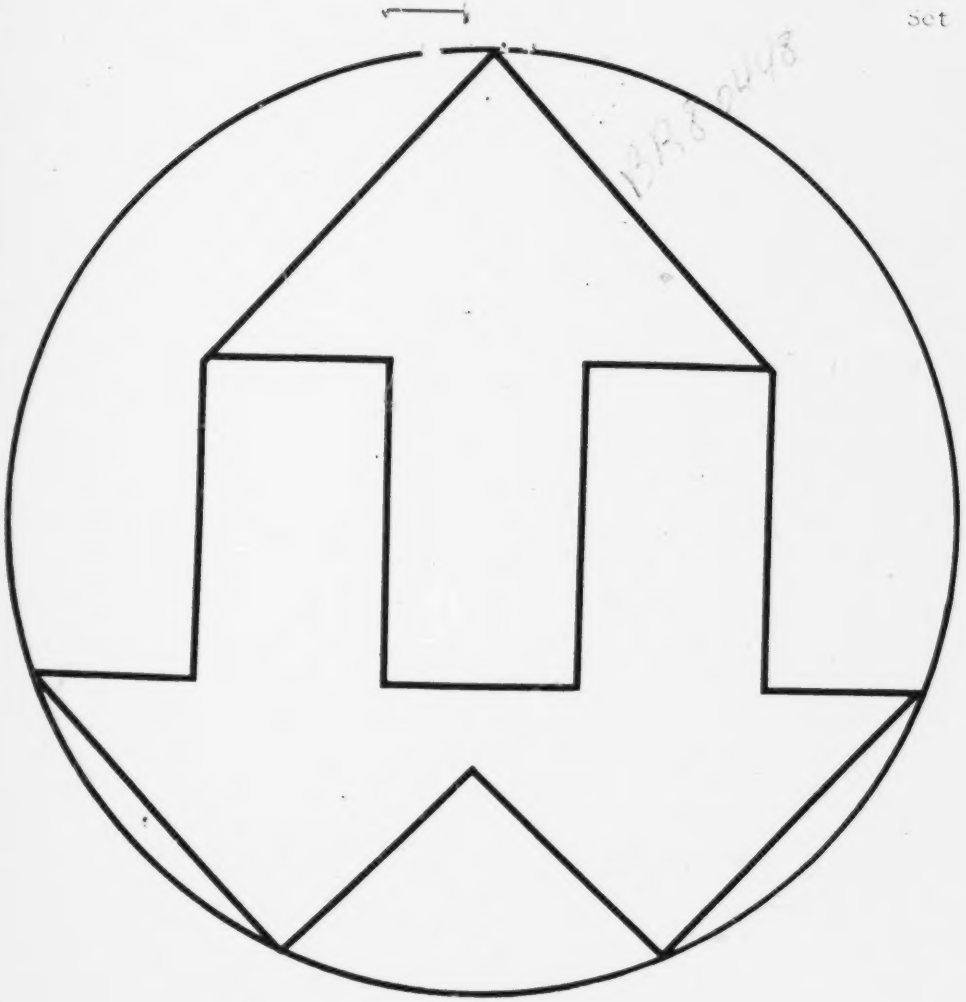

Introduction To Psychology And Leadership

Volume VI-A

Authority And Responsibility

EM 010 434

ED 071290

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILTY

Segments I & II

Volume VI-A

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WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

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United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment I

Concept of Authority

Syndactic Text

Single Volume

(ST/SV)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

FOREWORD

"Power tends to corrupt and absolute power corrupts absolutely."

Lord Acton

The aphorism of the nineteenth-century historian Lord Acton is widely quoted today because of the misuse of legally sanctioned authority in the hands of twentieth-century despots. To some, even the general concept of authority has overtones of unreasonable persecution and arbitrary decisionmaking. So violent is the reaction to authority in religious, political, and social spheres that one could conceivably label our age "the age of the crisis of authority." The purpose of this segment is to examine some of the theoretical concepts of authority as it applies to organizations in general and the U.S. Navy in particular. The purposes, limitations, and inherent constraints upon authority are discussed. They indicate that responsibility for mission accomplishment involves the judicious use of authority.

CONCEPT OF AUTHORITY

Summary 1

The Concept of Authority

The term authority has been similarly defined by many sources. It has been defined as:

1) The power to direct the activities of others

2) The power or right to act, to command, or to exact action of others

3) The power to direct and control the actions of others

4) The delegated right to make decisions in order to fulfill a responsibility, the right to require actions of others, and the right of an individual to discharge those obligations for which he is responsible

5) The accepted right to engage in certain actions

This is how U.S. Navy Regulations, Art. 1317, defines Authority Over Subordinates:

> "All officers of the naval service, of whatever designation or corps, shall have all the necessary authority for the performance of their duties, and shall be obeyed by all persons, of whatever designation or corps, who are, in accordance with these regulations and orders from competent authority, subordinate to them."

Concept of Authority

The concept of authority includes the power to command others to do or not to do a certain thing which the possessor of the authority deems appropriate and necessary to realize objectives. This concept implies possession of power to impose sanctions and to coerce. However, the right to command does not necessarily connote the capacity to command. The concept also implies an interpersonal relationship in which one individual (the subordinate) accepts as legitimate a decision made by another individual (the superior), permitting that decision to affect his behavior. The power which operates in and through an authority relationship is always, in some measure, the joint creation of the bearer and subjects of authority; i.e., the power of the bearer of authority grows out of his subjects' acceptance of his direction and guidance as a bearer of authority.

Authority refers to a relationship between persons and not to an attribute of an individual. It involves exercise of social control which rests on the willing compliance of subordinates to be influenced, because they have accepted as legitimate the principle that some of their actions should be governed by the superior's decisions.

Members of organizations recognize the right of command as an inherent part of certain managerial positions (positions of authority). Employees may, on the other hand, resent officiousness or attempts by fellow workers to act authoritatively when they do not hold positions of real authority.

In other words, people recognize that authority resides in certain positions and not in others.

The concept of authority employed here incorporates the idea of power or ability to secure compliance with a superior's orders. Authority might be called institutionalized power to emphasize its connection with the formal organization and to distinguish it from other types of power. Members of organizations recognize the power of managers because of their acceptance of the formal organization and its managerial positions. This does not imply that it is absolute power, having no limitations, but that authority must have some degree of effectiveness to be recognized as authority. Otherwise, it is a hollow, meaningless, "paper" right of command.

How Authority Relates to Power and/or Influence

In the official hierarchical sense, authority is the right to command, whereas power is the capacity to secure the dominance of one's values and goals. Man has always resorted to power to support authority. Without personal influence, no amount of authority can produce an outstanding commander. The degree of leadership skill demonstrated by a commander governs the amount of influence he will exercise over subordinates beyond the power derived from his formal authority. The individual who exercises influence may offer advice, make suggestions, enter into discussions, persuade, or use propaganda, but he does not exercise authority; instead, he indirectly affects the behavior of others.

This is the end of Summary 1. Now, go to the next page and take Summary Pre-Quiz 1.

Summary Pre-Quiz 1

The Concept of Authority

Answer the following questions as indicated in your Student Guide.

---

1. A person who exercises only influence is limited in his power to influence the behavior of others.

Select the statement(s) which describe(s) what courses of action/influence are available to such a person.

a. The individual who exercises influence may offer advice, make suggestions, or enter into discussions.

b. The individual who exercises influence may persuade or use propaganda.

c. The individual who exercises influence indirectly affects the behavior of others.

d. All of the above

2. Which statement correctly describes the authority and obedience due officers of the naval service according to U.S. Navy Regulations?

a. All naval officers shall have the necessary authority to perform their duties, and shall be obeyed by all persons subordinate to them.

b. All naval officers shall have the necessary authority to perform their duties within their designation or corps, and shall be obeyed by all persons subordinate to them within their designation or corps.

c. All naval officers shall have the necessary authority to perform their duties upon exhibition of competence in handling authority according to regulations.

d. None of the above

---

3. SN Webfoot, a side cleaner on the USS Coral Sea (CVA-47), is considering leaving the ship without permission, to see his girl friend. FN Black, his hometown buddy and a levelheaded sailor, attempts unsuccessfully to talk Webfoot out of it. However, BM2 Grey, Webfoot's section leader, hears of his plan and easily talks him out of going.

Which statement <u>best</u> explains Webfoot's behavior?

a. Webfoot knows he will not be placed on report by Black if he goes.

b. Webfoot discovers he hasn't enough money to go.

c. Webfoot rejects peer authority, but accepts hierarchical position authority.

d. Webfoot decides that both men know what they are talking about and doesn't want to get caught.

4. Which statement correctly describes the relationship of authority to power?

a. Authority is the delegated capacity to command; power is the right to secure the dominance of one's values or goals.

b. Authority is the right to command; power is the capacity to secure the dominance of one's values or goals.

c. Authority is the right to secure the dominance of one's values or goals; power is the capacity to command.

d. None of the above

---

5. Which of the following does <u>not</u> define authority?

a. The power to direct and control the actions of others

b. The delegated right to make decisions

c. The power to exact action of others

d. The capacity to command

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 1

1. d
2. a
3. c
4. b
5. d

If all your answers are correct go to Summary 2 on page 29. If you missed one or more questions go to the next page and go through Programed Sequence 1.

Programed Sequence 1

Concept of Authority

In this frame sequence, you will learn several similar definitions of authority and concepts of authority. You also will study the relationship of authority to power and influence.

---

1 Read Figure 1 on the next page, then answer the following question. Which statement correctly describes the authority and obedience due officers of the naval service according to U.S. Navy Regulations, Art. 1317?

a. Officers were a formal part of the Navy before enlisted men and have acquired a position of authority through Navy Regs.

b. Officers generally have more formal education then enlisted men, and Navy Regs recognizes that authority should be vested in those personnel with thorough educational backgrounds.

c. Navy Regs establishes that officers shall have authority over subordinates who are assigned to the officers by competent authority.

d. Navy Regs establishes that officers shall have authority over subordinates, but does not explain who is a subordinate.

I. U.S. Navy Regulations, Art. 1317, Authority over Subordinates, states:

> All officers of the naval service, of whatever designation or corps, shall have all the necessary authority for the performance of their duties, and shall be obeyed by all persons, of whatever designation or corps, who are, in accordance with these regulations and orders from competent authority, subordinate to them.

II. Authority has been similarly defined by various sources as:

a. The power to direct the activities of others

b. The power or right to act, to command, or to exact action by others.

c. The power to direct and control the actions of others.

d. The delegated right to make decisions in order to fulfill a responsibility, the right to require actions of others, and the right of an individual to discharge those obligations for which he is responsible.

e. The accepted right to engage in certain actions.

f. The capacity of a superior, on the basis of his formal position, to make decisions affecting the behavior of subordinates.

Figure 1. Authority Defined

2 Which statement correctly defines authority?

a. Authority is the delegated right to make decisions and to require actions of others in the fulfillment of a responsibility.

b. Authority is the ability of a person to sense that leadership is necessary in a particular situation and to usurp that role.

c. Authority is the perceived role of power, as viewed by subordinates. It is unrelated to formal position.

d. Authority is the equivalent of responsibility.

3 During an in-port visit by a CVA to Barcelona, Spain, as part of the 6th Fleet's schedule, LT Smith, Supply Corps, U.S. Navy, is assigned duties as Shore Patrol Officer. While on duty, LT Smith wears the appropriate uniform accessory items which identify him as a Shore Patrol Officer. Late one evening, LT Smith is summoned to a local bar where a disturbance has been reported involving U.S. sailors. LT Smith places these sailors under arrest, takes their liberty cards, and orders them to return to their ship.

Which statement correctly describes the basis of LT Smith's authority over the sailors?

a. LT Smith's authority comes from the U.S. 6th Fleet.

b. LT Smith's authority comes from the Captain of the CVA.

c. LT Smith's authority stems from the fact that he is attached to a large combatant vessel (CVA).

d. LT Smith's authority comes directly from Navy Regulations and is inherent in his duties as Shore Patrol Officer.

---

4 Which of these correctly defines authority?

a. The accepted right to engage in certain actions.

b. The power to direct and control the actions of others

c. Both of the above

d. None of the above

5 There are several concepts of authority. One of these concepts holds that authority is the power to command others to do or not to do a certain thing which the possessor of the authority deems appropriate and necessary to realize objectives.

What may you infer that this concept implies?

a. Possession of power to impose sanctions and to coerce

b. Possession of power connoting the ability to command well

c. Both of the above

d. None of the above

---

6 Sometimes a leader must acquire certain knowledge and/or skills after he has already obtained authority. This brings us to another concept, illustrated by the following example.

MIDN White is appointed platoon leader during his first class year at the Naval Academy. Although he has participated in drills and activities as an underclass platoon member, he has never before led the platoon. Despite his inexperience, White has authority over the men in his platoon.

Which statement correctly describes White's position?

a. "Right to command" does not necessary connote the capacity to command.

b. The requisite leadership skills are assumed to reside in all officers and petty officers appointed to positions of authority.

c. Both of the above

d. None of the above

7 One concept sees authority as an interpersonal relationship between superior and subordinate, in which the subordinate accepts the superior's decisions, allowing them to affect his behavior. The power which operates in and through an authority relationship is always in some measure the joint creation of the bearer and subjects of authority.

The Commanding Officer of a submarine, perhaps more than in any other ship, requires and receives the acceptance and unhesitating obedience of all crew members. Without this acceptance, his authority cannot be realized.

Which statement best describes this concept?

a. As the power of the superior (who has the authority) increases, the acceptance by subordinates of his direction and guidance increases.

b. The power of the superior (who has the authority) stems from the acceptance by subordinates of his direction and guidance.

c. Both of the above

d. None of the above

---

8 Which correctly states a concept of authority?

a. Right to command does not connote capacity to command.

b. Authority implies possession of power to impose sanctions and to coerce.

c. Both of the above

d. None of the above

9 Which correctly defines authority?

a. The delegated right to make decisions in order to fulfill a responsibility

b. The power to make subordinates do whatever you want them to do

c. Both of the above

d. None of the above

---

10 Authority refers to a relationship between persons and not to an attribute of an individual.

Your ship is scheduled to deploy to WestPac the first week in January. However, as occasionally happens, the situation changes and your ship is given relatively short notice that it must leave in mid-December; thus, the men miss Christmas with their families. The Captain carefully explains the reasons for this change to the crew, satisfying all hands that it is indeed necessary for the ship to deploy early. Consequently, the ship sails with a dedicated and understanding crew.

Which statement is correct?

a. Authority involves exercise of social control which rests on the willing compliance of subordinates to certain directives of the superior.

b. The subordinates accepted as legitimate the principle that some of their actions should be governed by the superior's decisions. Therefore, he did not need to coerce or persuade subordinates to influence them.

c. Both of the above

d. None of the above

11 Within organizations, employees may resent officiousness or attempts by fellow workers to act authoritatively when they do not hold positions of real authority. What may you infer from this?

a. Members of organizations recognize authority as distinct from certain managerial positions (positions of authority).

b. Members of organizations recognize that authority does not reside in certain positions (positions of non-authority).

c. Both of the above

d. None of the above

---

12 A similar concept of authority incorporates the idea of power or ability to secure compliance with a superior's orders. Authority might be called institutionalized power to emphasize its connection with the formal organization and to distinguish it from other types of power. For instance, members of organizations recognize that managers have power because they accept the formal organization and its managerial positions. In other words, authority must have some degree of effectiveness to be recognized as authority.

Which of the following is an example of this concept of authority?

a. The Marine detachment charged with guarding the ship or station brig

b. The Type Commander's instructions and orders to ships under his command

c. Both of the above

d. None of the above

13 Which correctly describes a concept of authority?

a. Members of organizations recognize that authority does not reside in certain positions (positions of non-authority).

b. Right to command does not necessarily connote capacity to command.

c. Both of the above

d. None of the above

---

14 LTJG Winkle, a good friend of LTJG Boone, is serving as OOD when he finds it necessary to issue an order prohibiting smoking, due to the unloading of some particularly dangerous munitions. LTJG Boone, in his quarters below, is noticeably slow in complying.

Which concept of authority <u>best</u> explains Boone's behavior?

a. The concept that says authority incorporates the idea of power or ability to secure compliance with a superior's orders

b. The concept that says authority is the power to command

c. The concept that says individuals tend to reject authority from those they consider to be peers

d. The concept that says authority refers to a relationship between persons and not to an attribute of an individual

15 Which statement correctly defines authority?

a. Authority is the perceived role of the power a leader has, as viewed by his subordinates.

b. Authority is the power and capability that an individual possesses to influence others to do whatever he wants.

c. Both of the above

d. None of the above

---

16 MIDN 3/c Shepherd is slow to respond to the orders of his platoon leader, MIDN 1/c Smart, whom he considers hard-nosed and whom he does not like for a variety of reasons. However, he is eager to carry out the orders of his squad leader, MIDN 1/c Weeks, whom he likes and respects.

Which statement <u>best</u> explains Shepherd's behavior?

a. He rejects the attitude of Smart as being too demanding of subordinates.

b. He does not feel that Smart should be giving him orders, but that orders should come through the chain of command.

c. Weeks accepts too much authority from subordinates.

d. He feels an interpersonal relationship with Weeks, and accepts his decisions as legitimate.

17 Man has always resorted to power to support authority. Authority relates to power in that authority, in the official hierarchical sense, is the right to command, while power is the capacity to secure the dominance of one's values or goals.

During the action of the USS Bonhomme Richard against HMS Serapis, John Paul Jones replied to the hail "Have you struck?" with "I have not yet begun to fight!" This inspired the crew to continue the battle, becoming victorious, though they could conceivably have surrendered.

Which statement is true concerning the relationship of authority to power/influence?

a. An individual's authority is derived totally from the amount of personal influence he has.

b. Without personal influence, no amount of authority can produce an outstanding commander.

c. Both of the above

d. None of the above

18 MAJ Beach, the CO of the Marine detachment on the USS Kitty Hawk (CVA-64) is a handsome, personable, well-dressed officer. Through his outstanding personal example, courageous spirit, and consideration for his men, he has gained the wholehearted support of his subordinates. He uses these merits to influence his men to perform their duties in an exemplary manner. He can also be a demanding and exacting CO.

Which statement is true concerning the relationship of authority to power influence?

a. The formal authority granted to a Marine officer is universally accepted throughout the Corps as validating the officer's capacity to command.

b. The degree of leadership skill demonstrated by a commander governs the amount of influence he will exercise over subordinates beyond the power derived from his formal authority.

c. Both of the above

d. None of the above

---

19 The individual who exercises only influence does not exercise authority. What may you infer from this statement?

a. This individual may offer advice, make suggestions, enter into discussions, persuade, or use propaganda.

b. This individual indirectly affects the behavior of others.

c. Both of the above

d. None of the above

20 Which statement correctly describes the relationship of authority to power?

a. Authority to direct the activities of others is dependent upon power.

b. Authority and power are slightly different concepts; authority means a formal right to command, whereas power means an informal right to command.

c. Authority is power.

d. Authority is the formal right to command. Power is the capacity to exercise this right through the direction of the actions of subordinates.

---

21 One of the key officers on the carrier division staff is the Assistant Chief of Staff for Operations ACOS (OPNS). In his discussions with the Air Group Commanders, squadron CO's, and the ship's Commanding Officer, there is no doubt that he exercises considerable influence on the day-to-day air operations performed by the carrier. Yet, he does not exercise authority. Only the Admiral who is Commander of the Carrier Division has the formal right to exercise authority for the carrier division.

Which statement correctly describes the limit of the power which the Assistant Chief of Staff for Operations may exercise over the behavior of others?

a. The ACOS (OPNS), although he has no real position authority, has power authority which the others confer upon him. The fact that he carries considerable influence with them is indicative of his authority.

b. The ACOS (OPNS) may enter into discussions, persuade, and offer advice, but he has no position authority. This means that he can only indirectly affect the behavior of others.

c. Both of the above

d. None of the above

22 The Executive Officer of a Marine rifle company has scheduled a formal dinner in honor of the officers' wives. He has stated that it will be considered a command performance, and all officers will attend in mess dress. Several of the unmarried platoon leaders resent being ordered to this type of social function and prefer not to attend, since the XO has ruled out bringing dates. However, they conform to the order and duly attend.

What form of power is the XO utilizing?

a. The influence of his rank

b. The authority of his official position

c. His power to dictate actions

d. His capacity to ensure obedience

23 A lieutenant aboard a heavy cruiser, functioning in his capacity as an assistant department head of the operations department, decides he can be more popular and, at the same time, become more of a recognized power if he displays some initiative. Acting on his own, he informs each division officer and division CPO that he is taking over the administration of special liberty, and that he will back them up all the way for giving deserving personnel all the liberty they want. The division officers and leading CPO's recognize immediately that the lieutenant is acting in a way contrary to the Commanding Officer's instruction on administering liberty and they refuse to go along with him.

Which concept of authority is illustrated?

a. The concept that says authority is the power to command others

b. The concept that recognizes that authority does <u>not</u> reside in certain positions

c. The concept that says authority incorporates the idea of power or ability to secure compliance with a superior's orders

---

24 Which statement correctly describes the relationship of authority to power?

a. Power is the right to command, while authority is the capacity to secure the dominance of one's values or goals through directing or controlling the actions of others.

b. Authority is the right to command, while power is the capacity to secure the dominance of one's values or goals.

c. Both of the above

d. None of the above

25 Which statement correctly describes the relationship of authority to power and influence?

a. The degree of leadership skill demonstrated by a commander governs the amount of influence he will exercise over subordinates beyond the power derived from his formal authority.

b. The leadership skill demonstrated by a commander is influenced by the amount of power over subordinates that is derived from his formal authority.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 1. Now, go to the next page and take the Quiz.

Summary Post-Quiz 1

The Concept of Authority

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes the authority and obedience due officers of the naval service according to U.S. Navy Regulations?

   a. All naval officers shall have the necessary authority to perform their duties upon exhibition of competence in handling authority according to regulations.

   b. All naval officers shall have the necessary authority to perform their duties, and shall be obeyed by all persons subordinate to them.

   c. All naval officers shall have the necessary authority to perform their duties within their designation or corps, and shall be obeyed by all persons subordinate to them within their designation or corps.

   d. None of the above

---

2. Which of the following does not define authority?

   a. The delegated right to make decisions

   b. The power to exact action of others

   c. The capacity to command

   d. The power to direct and control the actions of others

3. SN Webfoot, a side cleaner on the USS Coral Sea (CVA-47), is considering leaving the ship without permission, to see his girl friend. FN Black, his hometown buddy and a levelheaded sailor, attempts unsuccessfully to talk Webfoot out of it. However, BM2 Grey, Webfoot's section leader, hears of his plan and easily talks him out of going.

Which statement best explains Webfoot's behavior?

a. Webfoot rejects peer authority, but accepts hierarchical position authority.

b. Webfoot discovers he doesn't have enough money to go.

c. Webfoot knows he will not be placed on report by Black if he goes.

d. Webfoot decides that both men know what they are talking about and doesn't want to get caught.

---

4. Which statement correctly describes the relationship of authority to power?

a. Authority is the right to secure the dominance of one's values or goals; power is the capacity to command.

b. Authority is the right to command; power is the capacity to secure the dominance of one's values or goals.

c. Authority is the delegated capacity to command; power is the right to secure the dominance of one's values or goals.

d. None of the above

5. A person who exercises only influence is limited in his power to influence the behavior of others.

Select the statement(s) which describe(s) what courses of action/influence are available to such a person.

a. The individual who exercises only influence indirectly affects the behavior of others.

b. The individual who exercises influence may persuade or use propaganda.

c. The individual who exercises influence may offer advice, make suggestions, or enter into discussions.

d. All of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 1

1. b
2. c
3. a
4. b
5. d

Now, go to Summary 2 on the next page.

Summary 2

Theories of Authority

Formal Theory of Authority

According to this theory, authority is delegated to occupants of a position in a hierarchy. Society, through government, is the source from which (1) authority flows to ownership and then to management, and (2) power is transmitted from basic social institutions to individual leaders. More specifically, it is the institution of private property (in the legal aspect as guaranteed by our legal system and the U.S. Constitution) which vests, in a person, power over material resources.

Applied to a business enterprise, authority originates at the highest level of the organization of private property, the owners. Authority is delegated by the owners to their representatives, the directors, the president, the managers, and the hierarchy of various subordinates.

Applied to social groups where private property does not exist, authority originates at the fundamental levels of an institution; that is, from the basic folkways and mores of a particular group. The institution responds to group desires, objectives, and practices.

Applied to the military establishment, authority originates in traditions, customs, and regulations. Theoretically, all authority possessed by the military establishment is lodged in the Commander in Chief. Practically, though, there is successive delegation of authority down the chain of command.

Various officers have the necessary power to ensure compliance with directives, regulations, policies, etc. An officer's possession of formal authority merely reflects his rank or the organizational position to which he is assigned; that is, authority is not actually granted to individuals, but to officers or organizational positions.

Officers are empowered to use stipulated degrees of sanctions (if necessary) to obtain compliance with legitimate directives, orders, and policies. This is known as coercive power. Enforcement is approved by the nation, so long as it complies with the total pattern of laws and customs in the society at large. Coercive power is delegated to some degree at every level in the chain of command, but that of a Navy division officer or a Marine platoon leader is very limited. Only the Commanding Officer has the authority to administer punishment. The junior officer can administer additional instruction as corrective action, but must not infringe on the Commanding Officer's prerogative to administer all punishment. Counseling, admonishment, or completion of unfinished work after hours are tools available to junior officers. If these measures fail, the junior officer's only recourse is to place the offender on report to the Commanding Officer.

Acceptance Theory of Authority

The acceptance theory holds that a leader has only that authority which his subordinates are willing to let him exercise. Subordinates actually become the source of authority

in that they confer authority through their acceptance of the leader's power to make and enforce decisions. The sphere of authority possessed by a superior is defined for him by the sphere of acceptance of his subordinates; i.e., to be effective, formal authority must coincide with authority determined by its acceptance.

If an order is accepted by a subordinate, he confirms its authority by admitting the order as a basis of action. Disobedience of such a communication is a denial of authority. A subordinate will accept decisions and orders of his leader in most matters, but may reject his authority in certain matters and choose to disobey. For example, if he is ordered to do something which he deems morally wrong or harmful to him, he may reject the authority of his senior and refuse to obey.

The acceptance theory is significant to individual leadership, civilian or military, because a leader depends on his ability to communicate and to gain support through knowledge of human skills and technical skills.

Competence Theory of Authority

Authority is generated by personal qualities or technical competence, especially if the followers have no technical competence. There may have been no actual delegation of authority. Individuals respond as subordinates through sheer force of another's personality or knowledge. Authority generated by competence or personal qualities cannot be delegated or assigned; it adheres to the individual.

Synthesis of Theories

The acceptance theory is not regarded as universally valid, although most writers on the subject seem to acknowledge the theory as relevant to the authority relationship. The formal authority theory is disputed by those behavior theorists who espouse the acceptance theory. The two theories may not be mutally exclusive, suggesting a possible synthesis. Authority depends essentially on both the traditional social/ownership foundation and its acceptance by subordinates functioning as a group rather than as individual members.

Clearly military activities must rest upon an acceptance of authority by personnel.

This is the end of Summary 2. Now, go to the next page and take Summary Pre-Quiz 2.

Summary Pre-Quiz 2

Theories of Authority

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes the premise and the source of authority according to the formal authority theory?

   a. Authority is delegated to occupants of a position in a hierarchy. The source is the institution of private property.

   b. Authority flows to ownership and then to management; power is transmitted from basic social institutions to individual leaders. The source is the institution of private property.

   c. Both of the above

   d. None of the above

---

2. Which statement best describes the function of coercive power?

   a. The function of coercive power is to provide certain officers with the authority to administer punishment.

   b. The function of coercive power is to enable one to obtain compliance with legitimate directives, orders, and policies.

   c. The function of coercive power is to allow certain individuals authority which is not position authority.

   d. All of the above

3. Which statement correctly describes the premise and source of authority according to the acceptance theory of authority?

a. A subordinate has only that amount of authority which his superior is willing to delegate to him. The superior is the source of authority.

b. A superior has only that authority which his subordinates are willing to let him exercise. The subordinates are the source of authority.

c. Neither the superior nor the subordinate has total control over authority; both must accept the decisions and influence each other. The source of authority is the relationship itself.

d. None of the above

---

4. According to the competence theory, which is a source of authority?

a. Technical competence of the individual

b. The Commanding Officer of a ship

c. The OOD (obviously competent, or wouldn't be assigned)

d. All of the above

5. Which statement correctly describes the relationship between the formal and acceptance theories of authority?

a. Authority depends essentially on both the traditional social/ownership foundation and its acceptance by subordinates functioning as a group rather than as individual members.

b. The two theories may not be mutually exclusive.

c. Both of the above

d. None of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 2

1. c
2. b
3. b
4. a
5. c

If all your answers are correct, go to Summary 3 on page 65. If you missed one or more questions, go to the next page and go through Programed Sequence 2.

Programed Sequence 2

Theories of Authority

In this frame sequence, you will learn about three theories of authority: formal authority theory, acceptance theory of authority, and competence theory of authority. The possibility of a synthesis to theories will also be presented.

Figure 2 on the next page will help you to answer Frames 1 through 14.

---

1 The premise of the formal authority theory is that authority is delegated to occupants of a position in a hierarchy. Society is the source from which authority flows. Ownership--private property--is guaranteed by our Constitution and legal system. Authority then flows from ownership to management.

To whom is authority transmitted by the owners of private property when the formal authority theory is applied to a business enterprise?

a. Authority is delegated by the owners to subordinates of an organization such as the president, the managers, etc.

b. The directors of any organization are assigned, by our Constitution, all necessary authority to run the business.

c. Both of the above

d. None of the above

PREMISE: Authority is delegated to occupants of a position in a hierarchy. Society, through government, is the source from which authority flows to ownership and then to management; power is transmitted from basic social institutions to individual leaders.

SOURCE: The institution of private property (in the legal aspect as guaranteed by our legal system and the U. S. Constitution) vests in a person power over material resources.

FORMAL AUTHORITY THEORY, AS APPLIED TO:

MILITARY ESTABLISHMENT

1. Authority originates through traditions, customs, and regulations.
2. Theoretically all authority possessed by the military establishment rests with the Commander in Chief.
3. Practically, there is successive delegation of authority down the chain of command.
4. Various officers have the necessary power to ensure compliance with directives, regulations, policies, etc., but an officer's possession of formal authority merely reflects his rank or the organizational position to which he is assigned.
5. Through coercive power, officers are empowered to use stipulated degrees of sanctions (if necessary) to obtain compliance with legitimate directives, orders, and policies. Enforcement is approved by the nation, so long as it complies with the total pattern of laws and customs.
6. Coercive power is delegated to some degree at every level in the chain of command, but that of a Navy division officer or a Marine platoon officer is very limited.
7. Punishment authority is limited to the Commanding Officer. The junior officer can administer additional instruction as corrective action, but must not infringe on the Commanding Officer's prerogative to administer all punishment.
8. Counseling, admonishment or completion of unfinished work after hours are tools available to junior officers. If these measures fail, placing the offender on report to the Commanding Officer may be required.

BUSINESS ENTERPRISE

1. Authority originates at the highest level of the organization (of private property), the owners.
2. Authority is delegated by the owners to:
   a. Their representatives
   b. The directors
   c. The president
   d. The managers
   e. The hierarchy of various subordinates

SOCIAL GROUPS
(in which private property does not exist)

1. Authority originates at the fundamental levels of an institution: for example, basic folkways and mores of a particular group.
2. The institution responds to group desires, objectives, and practices.

Figure 2. Formal Authority Theory

2 The formal authority theory holds that authority originates at the highest level of business; that is, with the owners of private property. Formal authority, as applied to social groups, holds that authority originates at the fundamental levels of an institution, such as basic folkways and mores of a particular group.

Which of the following is an example of formal authority as applied to social groups?

a. The President of the United States (and his cabinet) administers the affairs of the government and executes laws passed by Congress.

b. The owner of a country club administers the financial affairs of the club and proposes changes and additions to the membership.

c. Both of the above

d. None of the above

---

3 The origin of authority (according to the formal authority theory) as applied to the military establishment stems from traditions, customs, and regulations.

Which of the following shows applied authority that originated from tradition, custom, or regulation?

a. Flogging

b. Courts-martial

c. Both of the above

d. None of the above

4 Which correctly states the premise and source of the formal authority theory?

a. Premise: authority delegated from basic social institutions to individual leaders
Source: institution of private property

b. Premise: authority transmitted to top-level positions in a hierarchy
Source: society

c. Both of the above

d. None of the above

---

5 Match the following.

Area	Origins of Authority
a. Business enterprise	1) Traditions, customs, regulations
b. Social groups	2) Basic folkways, mores of a particular group
c. Military establishment	3) The highest level of an organization (private property), the owners
	4) The highest level of an organization, the president

Which choice correctly matches the origins of authority to their appropriate areas?

a. a-3, b-1, c-4

b. a-4, b-2, c-1

c. a-3, b-2, c-1

d. a-4, b-3, c-2

6 Theoretically, the source of authority in the military is the Commander in Chief. Practically speaking, there is a successive delegation of authority down the chain of command. The chain of command is the direct line of authority within a command that contributes directly to accomplishing primary objectives.

---

7 Various officers have the necessary power to ensure compliance with directives, regulations, policies, etc.; but an officer's possession of formal authority merely reflects the organizational position or rank which he is assigned.

Which of the following is correct?

a. An officer's possession of formal authority is reflected by his rank and is obtained by his leadership abilities.

b. Authority is not actually granted to individuals, but to offices or staff positions to which the individuals are assigned.

c. Both of the above

d. None of the above

8 LCDR Jensen is to be relieved as Commanding Officer of a DE by CDR Black in a formal change of command ceremony.

Which of the following is true?

a. CDR Black is taking LCDR Jensen's place, and because he has more seniority, he will have more authority as the Captain.

b. Because he will have had experience as a Commanding Officer, LCDR Jensen will have an easier time in his new job.

c. CDR Black is taking over as Commanding Officer and his authority will be the same as was LCDR Jensen's when he was Commanding Officer.

d. Because of the delegation of authority from the Commander in Chief, CDR Black will have more authority than LCDR Jensen because the further down the line authority is delegated, the less authority there is to delegate.

9 There are times when having authority to give orders or to direct men is not enough. Through coercive power, officers are empowered to use stipulated degrees of sanctions (if necessary) to obtain compliance with legitimate directives, orders, and policies. Coercive power is delegated to some degree at every level in the chain of command, but that of a Navy division officer or a Marine platoon officer is very limited.

Which statement best describes the kind of coercive power normally delegated to shipboard division officers from a commanding officer?

a. The division officer can hold his own Division Officer's Mast and award punishment according to the UCMJ.

b. The division officer can administer extra instruction to subordinates as a means of taking corrective action.

c. Both of the above

d. None of the above

10 Authority to punish is limited to Commanding Officers. Junior officers are limited to administering additional instruction (which cannot infringe on the Commanding Officer's prerogative to administer all punishment), counseling, admonishment, or completion of unfinished work after hours.

ENS Fremont has counseled SN Blond on several occasions regarding his frequent failures to maintain proper dress standards in port. SN Blond once again ignored regulations while on liberty.

Which correctly describes the kind of corrective action ENS Fremont can administer?

a. Restrict SN Blond during the next in-port period.

b. Assign SN Blond an appropriate amount of extra instruction in the proper wearing of the uniform.

c. Place Blond in correctional custody.

d. Fine Blond one day's pay.

---

11 What additional coercive tool could ENS Fremont have used?

a. He could have taken SN Blond aside and admonished him.

b. He could have denied Blond his evening meal.

c. He could have permitted Blond to suffer certain indignities administered by B Division.

d. He could have seen that Blond was reduced in grade.

12 If these coercive tools fail, which is a recourse?

a. Place the offender on report to the Commanding Officer.

b. Seek permission to administer stronger punishment.

c. Both of the above

d. None of the above

---

13 Imagine that you are the MPA (Main Propulsion Assistant) and M Division Officer on the USS Black (DD-666). At morning quarters, your roommate, ENS Pulver, informs you that while he was the mid-watch OOD last night, FN Soot came aboard with his uniform incomplete and in disorder. As he knew FN Soot to be a good worker and normally clean-cut, he didn't say anything to Soot for being out of uniform. He did not put him on report, but is referring the matter to you.

Upon confrontation, FN Soot is very apologetic and promises never to let it happen again. FN Soot has never been in any trouble before.

Which correctly states the action you should take?

a. Put Soot on report.

b. Restrict Soot's liberty privileges for three days.

c. Accept an apology from Soot and warn him that the next time he will likely be written up.

d. Forget the matter entirely.

14 Which statement best describes the function of coercive power?

a. Coercive power is delegated to certain officers throughout the chain of command so that they may administer punishment.

b. Officers are empowered to use stipulated degrees of sanctions to obtain compliance with legitimate directives, orders, and policies.

c. Both of the above

d. None of the above

---

15 Figure 3 on page 47 will enable you to answer Frames 15 through 21 covering the acceptance theory of authority.

Which statement best describes the premise and source of authority according to the acceptance theory of authority?

a. A subordinate has only that amount of authority which the superior is willing to delegate to him. He may or may not accept the degree of authority, depending on whether he accepts the commensurate responsibility.

b. A leader has only the authority which his subordinates are willing to let him exercise; thus, the subordinates are the source of authority in that they confer it upon him through their acceptance of his power to make and enforce decisions.

c. Both of the above

d. None of the above

PREMISE: A leader has only that authority which his subordinates are willing to let him exercise (on a continuous basis). The sphere of authority possessed by a superior is defined for him by the sphere of acceptance of his subordinates; i.e., to be effective, formal authority must coincide with authority determined by its acceptance.

SOURCE: Subordinates confer authority through their acceptance of the leader's power to make and enforce decisions.

CONCEPTS CONCERNING APPLICATION OF ACCEPTANCE THEORY:

1. If an order is accepted by a subordinate, its authority for him is confirmed or established; i.e., it is admitted as the basis of action. Disobedience of such a communication is a denial of authority.

2. A subordinate will accept decisions and orders of his leader in most matters, but may reject his authority in certain matters and choose to disobey. If he, the subordinate, is ordered to do something which he deems morally wrong or harmful to him, he may reject the authority of his senior and refuse to obey.

3. Individual leadership, civilian or military, becomes significant because a leader depends on his ability to win support through knowledge of human skill, technical skills, and an ability to communicate.

Figure 3. Acceptance Theory of Authority

16 Which statement correctly describes the manner in which a leader's sphere of authority is defined?

a. A leader's sphere of authority is defined by the sphere of acceptance of his subordinates; to be effective, formal authority must coincide with authority determined by its acceptance.

b. A leader's sphere of authority is defined by the amount of authority which he is willing to delegate to his subordinates; to be effective, authority should be delegated whenever possible.

c. Both of the above

d. None of the above

---

17 A subordinate may obey or disobey an order; that is, he may accept or reject authority.

Which statement best explains the selective acceptance or rejection of authority by a subordinate?

a. A subordinate will usually accept the orders of his senior, even if they are unexpected and do not make much sense to him. However, whenever a subordinate perceives that a leader is flaunting his authority in issuing orders, the subordinate may reject the authority and refuse to obey.

b. A subordinate will accept most orders simply because he accepts his senior's authority. However, if the subordinate is ordered to do something which he considers morally wrong or harmful to himself, he may reject the authority and refuse to obey.

c. Both of the above

d. None of the above

18 LTJG Garvey is a new division officer aboard an LPA (attack transport).

Which of the following statements best describes the premise and source of his authority according to the acceptance theory of authority?

a. LTJG Garvey gets his authority directly from the Captain.

b. LTJG Garvey gets his authority through the willingness of his subordinates to accept his leader role as a division officer.

c. LTJG Garvey gets his authority from Navy Regulations, Article 1317.

d. LTJG Garvey gets his authority from his immediate superior, his department head.

---

19 Which statement correctly describes the manner in which LTJG Garvey's sphere of authority is defined?

a. LTJG Garvey's sphere of authority is defined by the sphere of acceptance of his subordinates.

b. LTJG Garvey's sphere of authority is defined by his division; that is, his authority does not extend beyond his division.

c. Both of the above

d. None of the above

20 Which statement correctly describes why individual leadership becomes significant under the acceptance theory of authority?

a. Individual leadership becomes significant because a leader depends on his ability to win support through his knowledge of human technical skills.

b. Individual leadership becomes significant because a leader depends on his ability to win support through his ability to communicate.

c. Both of the above

d. None of the above

---

21 Which correctly states tools of coercive power available to a junior officer?

a. Counseling and completion of unfinished work after hours

b. Admonishment and additional instruction

c. Both of the above

d. None of the above

22 Another theory of authority, the competence theory, holds that authority is generated by personal qualities or technical competence (especially if followers have no technical competence), and cannot be delegated because it adheres to the individual.

What can you infer from this?

a. There may have been no actual delegation of authority.

b. Individuals respond as subordinates because of the sheer force of another's personality, knowledge, or competence.

c. Both of the above

d. None of the above

---

23 Which correctly states the primary source of authority according to the formal authority theory?

a. Basic folkways and mores of a particular group

b. The institution of private property

c. Both of the above

d. None of the above

---

24 Which correctly states the source of authority according to the competence theory of authority?

a. Authority is generated by personal qualities or technical competence.

b. Authority is obtained through delegation because of sheer force of personality or knowledge.

c. Both of the above

d. None of the above

25 ENS Richardson is performing duties as Assistant Navigator aboard the cruiser USS Providence. He is very proficient in the use of the sextant under all conditions, and works out his sights quickly and accurately, knowing precisely what to do, step by step, in the computations and plotting of the various lines of position to establish a fix. The quartermasters in N Division respond to him quite well.

Which statement describes the fundamental source of ENS Richardson's authority in N Division?

a. His commission

b. His acceptance by the Captain as an efficient Navigator

c. His acceptance by the subordinates in N Division

d. His technical competence and proven abilities in navigation

26 A new Captain was getting his ship underway for the first time. All hands at special sea detail were anxious to observe the new Captain's abilities in seamanship. The conditions were most unfavorable. The ship was moored starboard side to another DD with a strong wind setting from the portside. Another nest of DD's lay astern. No tugs were available. The Captain alerted the engine room that he would swing the stern out using rudder and opposing engines (port ahead, starboard back, with right rudder), and that after stopping the engines he would give an "all back full bell" to clear the other DD quickly. He made it very clear that he wanted a fast response to his engine order. Meanwhile, he informed the forecastle to place fenders at key places, and to bring the lines on board quickly. With this preparation, he pulled away smartly and the crew immediately sensed that their Captain knew his job. He knew his ship would tend to "back into the wind" because of the higher sail area of the forecastle, and he displayed complete calm and confidence throughout the evolution. The effect on the crew was contagious.

Which is the primary reason for this reaction by the crew?

a. The crew respected the new Captain's relative seniority.

b. The crew unconsciously compared the former Captain's seamanship with that of the new Captain and felt the latter was better.

c. The crew responded favorably because of the forceful demonstration of extreme technical skill in seamanship on the part of the new Captain.

d. The crew responded to the new Captain's authority because they did not want to be punished.

27 With regard to the example in Frame 26, and keeping in mind the competence theory of authority, which statement best describes how the DD Captain could delegate his authority?

a. The new Captain can delegate this authority to any line officer he wishes since he is in command.

b. The new Captain can delegate this authority only to the Executive Officer, since he is the only other officer who has fully qualified for command.

c. The new Captain cannot delegate this authority.

d. The new Captain can delegate this authority only to those who have qualified as OOD's underway.

---

28 A group of midshipmen are walking along the Naval Academy seawall on a rainy afternoon. MIDN Sharp, the only member of the sailing squadron in the group, notices that one of the knockabouts is in danger of being damaged because of taut mooring lines. Sharp knows that the tide is ebbing, and that the situation will get worse. Apparently no one else is aware of the situation. MIDN Sharp takes charge, and he and his buddies slack the lines and prevent damage to the knock-about.

Which theory of authority is illustrated?

a. Formal authority theory

b. Acceptance theory of authority

c. Competence theory of authority

d. Influence theory of authority

29 Match the following.

a. Formal authority theory	1) Authority is generated by personal qualities or technical skill.
b. Acceptance theory of authority	2) Institution of private property delegates authority downward.
c. Competence theory of authority	3) Subordinates confer authority.
	4) Sphere of authority is defined by sphere of acceptance.
	5) Authority flows from ownership and then to management.
	6) There may have been no actual delegation of authority.
	7) Authority flows from management and then to ownership.

Which choice correctly matches the descriptions to the appropriate theory?

a. a-5,7; b-1,4; c-3,6

b. a-2,5; b-3,4; c-1,6

c. a-2,6; b-3,4; c-1,7

d. a-5,7; b-1,3; c-4,6

30 Which correctly states how a leader's sphere of authority is defined, according to the acceptance theory of authority?

a. A leader's sphere of authority is defined by his rank, situation, and division.

b. A leader's sphere of authority is defined by his subordinates' sphere of acceptance of his authority.

c. Both of the above

d. None of the above

---

31 A subordinate will accept authority at most times, but when he feels that an order has been issued which is morally wrong or harmful to himself, he may reject authority and disobey the order.

Which theory of authority does the above example illustrate?

a. Competence theory

b. Acceptance theory

c. Both of the above

d. None of the above

32 See Figure 4 below.

Which statement correctly defines the premise of a synthesis of theories of authority to the military?

a. Rank has its privileges. Authority in the military is always based on formal authority.

b. In the military, the situation dictates whether the formal, acceptance, or competence theory is the most important.

c. Up until the time an officer wears "scrambled eggs," getting accepted by subordinates is the key to authority. From commander on up, it's seniority that counts; what subordinates think does not make any difference.

d. In the military, activities must rest upon an acceptance of authority by personnel.

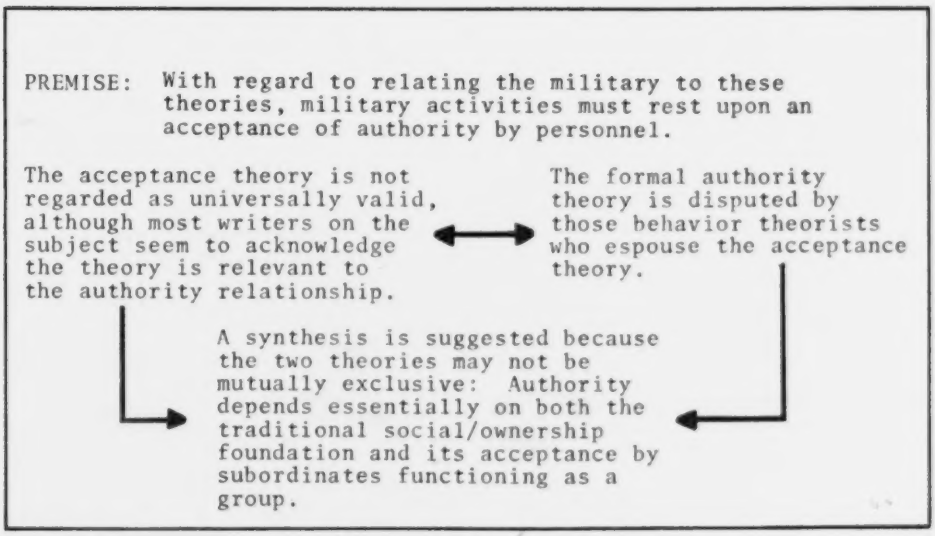
PREMISE: With regard to relating the military to these theories, military activities must rest upon an acceptance of authority by personnel.
The acceptance theory is not regarded as universally valid, although most writers on the subject seem to acknowledge the theory is relevant to the authority relationship.
The formal authority theory is disputed by those behavior theorists who espouse the acceptance theory.
A synthesis is suggested because the two theories may not be mutually exclusive: Authority depends essentially on both the traditional social/ownership foundation and its acceptance by subordinates functioning as a group.

Figure 4. Synthesis of Theories

33 Which theory of authority is not accepted as universally valid, although it is accepted by many (including the military) as relevant to the authority relationship?

a. Formal authority theory

b. Acceptance theory of authority

c. Competence theory of authority

---

34 Which theory of authority is disputed by those behavior theorists who espouse the acceptance theory?

a. Formal authoritarian theory

b. Competence theory of authority

c. Authority theory

d. None of the above

---

35 ENS Hart, a former ETC, was recently commissioned in ceremonies aboard his ship, the USS Ranger (CVA-61). ENS Hart received his commission through the LDO (limited duty officer) program.

Which theory of authority should ENS Hart assume as the basis for his own authority and subsequent behavior?

a. The formal authority as given in his commission

b. His acceptance by subordinates, as he has always been a natural group leader

c. A synthesis of a and b

d. His technical competence as proven by his rapid advancement up through the ranks

36 MIDN Eager, a secondclassman, carried out an order he received from his Company Commander, even though he had mixed emotions about the fairness of the order. However, since the Company Commander was known to be somewhat of a martinet, and was going to graduate in a few weeks anyway, MIDN Eager didn't want to "rock the boat" and accepted his Company Commander's seniority.

Which theory of authority does the above example typify?

a. Formal authority theory

b. Acceptance theory of authority

c. Competence theory of authority

---

37 Which statement correctly describes the relationship between the formal authority theory and the acceptance theory of authority?

a. The two theories are not mutually exclusive.

b. The two theories are mutually exclusive.

38 During a bull session in Bancroft Hall, several midshipmen are discussing the pros and cons of the various theories of authority. The argument boils down to whether the normal or the acceptance theory of authority is accepted by the Navy.

Which statement is correct?

a. Authority in the Navy comes from traditions, customs, and regulations.

b. Authority in the Navy stems from acceptance by subordinates functioning as a group.

c. Both of the above

d. None of the above

---

39 Which statement <u>best</u> describes the authority role of a junior officer?

a. As a commissioned officer, he has great latitude in his punishment authority over all enlisted personnel.

b. He must accept the authority of his seniors, and should expect the same obedience from subordinates.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 2. Now, go to the next page and take the Summary Post-Quiz 2.

Summary Post-Quiz 2

Theories of Authority

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes the premise and source of authority according to the acceptance theory of authority?

   a. Neither the superior nor the subordinate has total control over authority; both must accept the decisions and influence of each other. The source of authority is the relationship itself.

   b. A superior has only that authority which his subordinates are willing to let him exercise. The subordinates are the source of authority.

   c. A subordinate has only that amount of authority which his superior is willing to delegate to him. The superior is the source of authority.

   d. None of the above

---

2. Which statement correctly describes the premise and the source of authority according to the formal authority theory?

   a. Authority flows to ownership and then to management; power is transmitted from basic social institutions to individual leaders. The source is the institution of private property.

   b. Authority is delegated to occupants of a position in a hierarchy. The source is the institution of private property.

   c. Both of the above

   d. None of the above

3. Which statement best describes the function of coercive power?

a. The function of coercive power is to enable one to obtain compliance with legitimate directives, orders, and policies.

b. The function of coercive power is to allow certain individuals authority which is not position authority.

c. The function of coercive power is to provide certain officers with the authority to administer punishment.

d. All of the above

---

4. According to the competence theory, which is a source of authority?

a. The Commanding Officer of a ship

b. The OOD (obviously competent, or wouldn't be assigned)

c. Technical competence of the individual

d. All of the above

---

5. Which statement correctly describes the relationship between the formal and acceptance theories of authority?

a. Authority depends essentially on both the traditional social/ownership foundation and its acceptance by subordinates functioning as a group rather than as individual members.

b. The two theories may not be mutually exclusive.

c. Both of the above

d. None of the above

Now, check your answers on page 64.

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ANSWERS TO SUMMARY POST-QUIZ 2

1. b
2. c
3. a
4. c
5. c

Now, go to Summary 3 on the next page.

Summary 3

Limits of Authority

Introduction

Authority is limited, like all social institutions, by basic restrictions such as codes, mores and folkways, and laws. Just as bylaws and articles of incorporation set limits upon a manager's authority, the military leader's authority is restricted by objectives, policies, procedures, programs, and regulations. For example, a junior officer's control of rewards and punishments is extremely limited. Limitations are also spelled out in the assignment of duties and delegation of authority.

Figure 1 depicts the tapering concept of authority. Lower down in the chain of command, there are more restrictions on the leader's authority. Higher up in the chain of command, there are less limitations and a broader scope of authority.

Limiting Constraints

The following constraints which limit authority are subject to change with time and developments.

1) Biological constraints--Human beings do not have the capacity to do certain things; for example, be in two places at the same time. No subordinate should be expected to do the impossible.

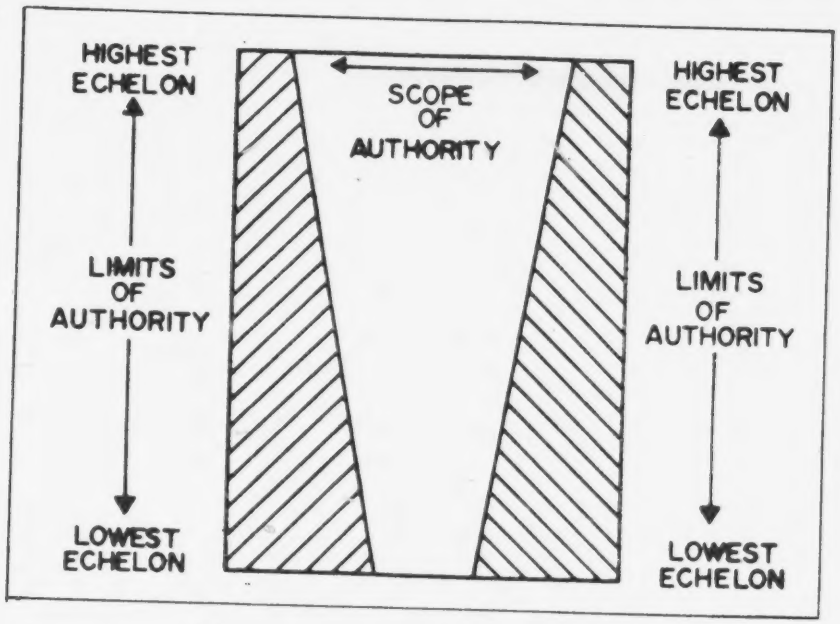


Figure 1. The Tapering Concept

2) Physical constraints--Factors such as geography, climate, and physical resources are beyond the authority of a leader and may tend to limit his exercise of authority. Environmental surroundings may alter the exercise of this authority. For example, the Captain aboard ship operates differently during battle than he does in transit of the Panama Canal when a pilot has the conn.

3) Social limitations--Ordered activities must be in keeping with beliefs, customs, codes, creeds, and habits of the work group. Such limitations are imposed by the organization and by the society in which it operates.

4) Technological constraints--State-of-the-art, mechanical breakdowns, and the technological capability of the leader and subordinates (education and experience) can limit a leader's authority.

5) Economic limitations--Objectives which might be accomplished are not, because economic resources limit the leader's actions.

6) Ethnic and related factors--One executive's "position authority" may command greater power than that of another because of differences in ethnic background.

7) Status incongruency--Age/sex may not appear to be congruent with authority position, and may detract from authority of the leader; for example, a new, young division officer with a mature, experienced group of petty officers.

This is the end of Summary 3. Now, go to the next page and take Summary Pre-Quiz 3.

Summary Pre-Quiz 3

Limits of Authority

Answer the following questions as indicated in your Student Guide.

---

1. Which statement is an example of a specific limitation to a military leader's authority?

   a. ENS Benson could not recommend a man in his division for meritorious mast.

   b. ENS Benson could not authorize his leading chief machinist's mate to repair the main feed pump without first getting approval from the Commanding Officer.

   c. ENS Benson could not authorize his leading chief to provide extra instruction for one of the non-rated men in the division.

   d. All of the above

---

2. Which statement correctly describes the tapering concept of authority?

   a. The lower down in the chain of command, the more restrictions on the leader's authority.

   b. The higher up in the chain of command, the broader the scope of authority.

   c. The higher up in the chain of command, the less limitations on the leader's authority.

   d. All of the above

3. Which of the following are constraints that limit authority?

a. Physical, social, practical

b. Personal, status incongruency, ethnic

c. Biological, technological, economic

d. Technological, ethnic, perceptual

---

4. Which of the following terms indicate physical constraints which limit authority?

a. Geography, climate

b. Environmental surroundings, physical resources

c. Both of the above

d. None of the above

---

5. Which of the following combinations of terms indicates social limitations to authority?

a. Beliefs, customs, and creeds

b. Customs, rules, and environment

c. Habits of the group, status, and laws

d. Technology, creeds, and customs

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 3

1. b
2. d
3. c
4. c
5. a

If all your answers are correct, go to Summary 4 on page 87. If you missed one or more questions, go to the next page and go through Programed Sequence 3.

Programed Sequence 3

Limits of Authority

In this sequence of frames, you will learn specific limitations and constraints of authority, including the tapering concept.

---

1 Refer to Figure 5 on page 72.

Which correctly states the basic restriction to authority?

a. Codes, mores and folkways, and laws

b. Objectives, policies, and articles of incorporation.

c. Both of the above

d. None of the above

---

2 Which correctly states some of the specific limitations which are placed on a manager's authority?

a. Bylaws and articles of incorporation

b. Programs and procedures

c. Both of the above

d. None of the above

---

3 Which correctly states the limitations which are placed on a military leader's authority?

a. Objectives, procedures, programs, policies, and regulations

b. Those spelled out in the assignment of duties and delegation of authority

c. Both of the above

d. None of the above

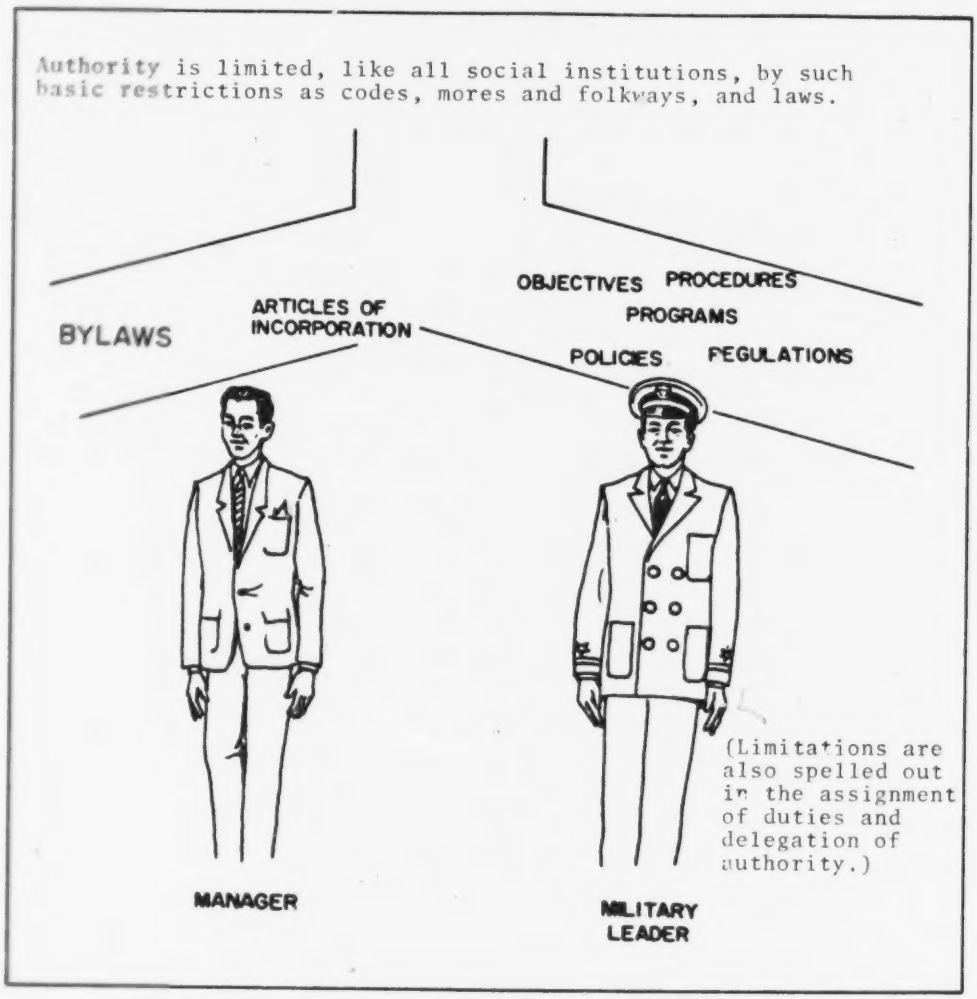

Authority is limited, like all social institutions, by such basic restrictions as codes, mores and folkways, and laws.
BYLAWS
ARTICLES OF INCORPORATION
OBJECTIVES
PROCEDURES
PROGRAMS
POLICIES
REGULATIONS
(Limitations are also spelled out in the assignment of duties and delegation of authority.)
MANAGER
MILITARY LEADER

Figure 5. Limitations to Authority

4 Which correctly states the basic restrictions to authority.

a. Programs, bylaws, regulations, and policies

b. Objectives, mores, and articles of incorporation

c. Both of the above

d. None of the above

---

5 Look at Figure 6 on page 74, and then read the following example.

MIDN 2/c Bryce is appointed Brigade Commander for his class. MIDN Bryce discovers that he has no authority to make policy decisions as Brigade Commander, and that he is extremely limited in assuming much authority.

Which best describes the limit to authority illustrated?

a. The tapering concept which is: The lower down in the chain of command, the more restrictions on the leader's authority; the higher up in the chain of command, the fewer the limitations and the broader the scope of authority.

b. The tapering concept which is: The lower down in the chain of command, the fewer limitations on the leader's authority; the higher up in the chain of command, the more restrictions on authority, but the broader the scope of authority.

c. Both of the above

d. None of the above

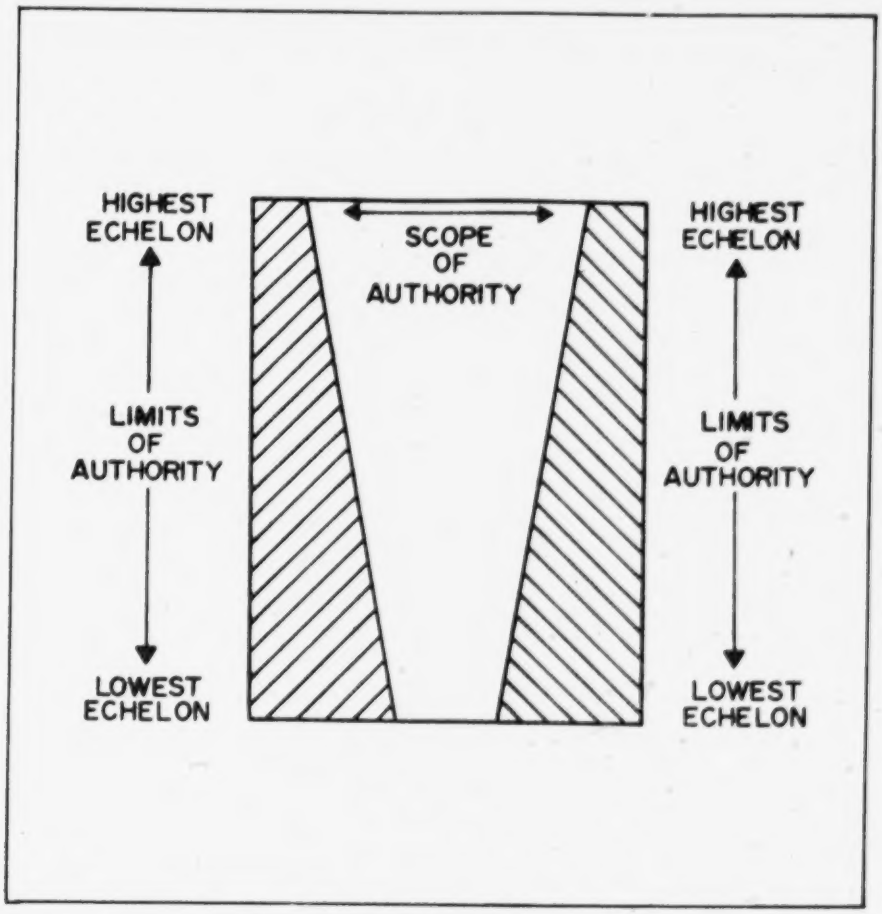


Figure 6. The Tapering Concept

6 See Figure 7 on the next page.

Which of the examples best explains biological constraints on authority?

a. BM3 Spike orders SN Small, a man of slight physical stature, to rearrange storage of several heavy items in the boatswain's locker. SN Small is unable to move the gear by himself.

b. BM3 Spike orders SN Small to remove the rat guards from the mooring lines prior to getting underway. SN Small is fearful of heights above water and refuses to do as ordered.

c. Both of the above

d. None of the above

---

7 Which of the following is not a physical constraint on authority?

a. Geography

b. Ethnic background

c. Climate

d. Ammunition availability

---

8 Which of the following may alter a leader's authority due to environmental surroundings?

a. He has no way of ensuring that he will be sent to where he wants to be.

b. The way in which geography or climate will affect his mission is beyond his authority.

c. Both of the above

d. None of the above

The following are constraints which limit authority. They are subject to change with time and developments.

1. Biological constraints--Human beings do not have the capacity to do certain things; e.g., be in two places at the same time. No subordinate should be expected to do the impossible.
2. Physical constraints--Environmental factors, such as geography, climate, and physical resources, are beyond the authority of a leader and may tend to limit his exercise of authority.
3. Social limitations--Required activities must be in keeping with beliefs, customs, codes, creeds, and habits of the work group. Such limitations are imposed by the organization and by the society in which it operates.
4. Technological constraints--"State-of-the-art," mechanical breakdowns, and the technological capability of leader and subordinates (education and experience) can limit a leader's authority.
5. Economic limitations--Objectives which might be accomplished are not, because economic resources limit the leader's actions.
6. Ethnic and related factors--One executive's "position authority" may command greater power than another's because of differences in ethnic background.
7. Status incongruency--Age/sex may not appear to be congruent with authority position, and will detract from authority of the leader.

Figure 7. Constraints Which Limit Authority

9 Beliefs (such as those held by political parties), customs (such as exemplified by national holidays), creeds (such as exemplified by religious holidays), and habits of the work group are all examples of social limitations to authority.

Which statement correctly describes the source of social limitations?

a. Social limitations are imposed by the laws of the country in which the social organization operates.

b. Social limitations are imposed by the organization and by the society in which it operates.

c. Both of the above

d. None of the above

---

10 Which correctly lists constraints or limits to authority?

a. Physical, biological, and social

b. Biological, technological, and personal

c. Both of the above

d. None of the above

11 A mechanical breakdown (such as might be caused by water in the fuel oil system) is one type of technological constraint, and can limit a leader's authority. Another type concerns the technological capability of a leader and subordinates.

Which correctly states an example of this type of constraint on authority?

a. A commander, with no recent experience on destroyers, takes over as Captain of a DD. When his ship is assigned to dual ship ASW exercises with a submarine, the Captain lets his Executive Officer conn the ship during the operation.

b. While a ship is in the yard being repaired, the yard workers go on strike. The Commanding Officer attempts to get the repairs done using the ship's company, but many of the repairs must go unfinished because the crew doesn't know how to do the work.

c. Both of the above

d. None of the above

12 At the Type Commander's pre-overhaul conference, CDR Peterson, Engineering Officer of a Cruiser, presents a thorough description of the work which needs to be accomplished during the overhaul to bring his department into first-class condition. The Force Materiel Officer, a Captain who is sympathetic to the problems of CDR Peterson, rules against several work items because of insufficient funds.

Which constraint is most likely the reason for his action?

a. One leader's "position authority" may command greater power than that of another.

b. Objectives which might be accomplished are not, because economic resources limit the leader's actions.

c. Both of the above

d. None of the above

---

13 Status incongruency occurs when age and/or sex are/is not congruent with the authority position held.

Which is an example of status incongruency?

a. A young ensign direct from the Naval Academy and submarine school is appointed division officer on a submarine whose crew consists of older, more experienced men, all of whom have completed the submarine qualification program.

b. A twenty-one-year-old ensign (a history major) is appointed division officer of a deck division on a carrier.

c. Both of the above

d. None of the above

14 Which of the following correctly lists constraints that limit authority?

a. Economic, status incongruency, and physical

b. Technological, biological, and ethnic

c. Both of the above

d. None of the above

---

15 The following are statements about the chain of command at the Naval Academy.

Choose the statement which correctly describes the tapering concept of authority.

a. The second classmen within the company have less responsibility and consequently more freedom than does the company commander.

b. The company commander has fewer limitations and a broader scope of authority than anyone else in the company.

c. The company commander has theoretically more authority than anyone else in the company in view of his status, but since he is responsible for the conduct of the company, he has more limitations than anyone else.

d. The lower down the chain of command you go, the easier it is to exercise authority without limitations.

16 Which correctly states the basic restrictions to authority?

a. Bylaws, policies, and objectives

b. Mores and folkways, and laws

c. Both of the above

d. None of the above

---

17 MIDN Patton is First Regimental Supply Officer at the Naval Academy and has been commended by the Midshipman Mess Officer on the many improvements that have been made since he took over. Patton, because of his outstanding performance, has made a name for himself in supply matters and is highly respected by his subordinate Battalion Supply Officers. However, when Patton departs from his role as Regimental Supply Officer, such as when he goes on liberty or takes a weekend, his acceptance as a leader declines.

Which constraint affects MIDN Patton's authority?

a. Physical (environmental)

b. Economic

c. Biological

d. Social

18 A very capable officer is placed in command in a highly sophisticated research and development office of the Navy. He is competent in many areas and has an exceptionally fine record as a combat naval aviator. His shortcoming is that he does not have a college degree, and he is noticeably ill at ease in dealing with the research scientists and other Ph.D. personnel on his staff. He attempts to make up for the deficiency by bringing conversations around to his level of competence--sea stories, military matters, and routine administrative trivia. His status with the research staff is low.

Which statement best describes the cause of the officer's status incongruency?

a. The civilians do not enjoy sea stories.

b. Military and civilian groups are basically different, and no military leader can expect status congruency in a civilian setting.

c. The officer lacks the appropriate educational background for such an assignment.

d. The civilians are jealous of his excellent military background.

19 Match the situations with the corresponding constraint limiting authority.

a. Physical
b. Technological
c. Ethnic
d. Status incongruency

1) A ship has been torpedoed, and the crew has abandoned ship with survivors afloat in rafts. Heavy seas prevent keeping all rafts together.

2) At a Naval Training Center, a WAVE officer is placed in charge of an office consisting entirely of male administrative personnel.

3) An OCS graduate, a history major at college, has been assigned as OR (radio) Division Officer on a CVA.

Which correctly matches each situation to the appropriate constraint?

a. a-1, d-2, b-3
b. b-1, c-2, b-3
c. a-1, b-2, d-3
d. b-1, a-2, c-3

This is the end of Programed Sequence 3. Now go to the next page and take Summary Post-Quiz 3.

Summary Post-Quiz 3

Limits of Authority

Answer the following questions as indicated in your Student Guide.

---

1. Which statement is an example of a specific limitation to a military leader's authority?

   a. ENS Benson could not authorize his leading chief machinist's mate to repair the main feed pump without first getting approval from the Commanding Officer.

   b. ENS Benson could not authorize his leading chief to provide extra instruction for one of the non-rated men in the division.

   c. ENS Benson could not recommend a man in his division for meritorious mast.

   d. All of the above

---

2. Which statement correctly describes the tapering concept of authority?

   a. The lower down in the chain of command, the more restrictions on the leader's authority.

   b. The higher up in the chain of command, the broader the scope of authority.

   c. The higher up in the chain of command, the less limitations on the leader's authority.

   d. All of the above

3. Which of the following are constraints that limit authority?

a. Biological, technological, economic

b. Technological, ethnic, perceptual

c. Physical, social, practical

d. Personal, status incongruency, ethnic

---

4. Which of the following terms indicate physical constraints which limit authority?

a. Environmental surroundings, physical resources

b. Geography, climate

c. Both of the above

d. None of the above

---

5. Which of the following combinations of terms indicates social limitations to authority?

a. Beliefs, customs, and creeds

b. Customs, rules, and environment

c. Habits of the group, status, and laws

d. Technology, creeds, and customs

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 3

1. a
2. d
3. a
4. c
5. a

Now, go to Summary 4 on the next page.

Summary 4

Authority and Status

Status

Status is the totality of attributes that relate and rank individuals in an organization. It is concerned with a person's prestige or standing within a group. The functions of status in an organization are:

1. To maintain effective and authoritative communications within the organization
2. To provide organizational incentives
3. To develop a greater sense of responsibility

Symbols of status include title and pay, ceremonies of induction and appointment, privileges, and physical arrangements.

Relationship of Status to Authority

Status plays an important part in maintaining authority in organizations. A person does not like to take orders from an equal. A status system makes compliance easier because a degree of inequality is rationalized. Also, instrumentalities of status impute qualities that reinforce the authority relationship. For example, rank insignia in the Navy allows subordinates to detect the status of an individual immediately, even though he knows little or nothing about the individual. The need to give authority to communications in an emergency situation, such as battle stations, is filled by the recognized military status system. In short, the higher a man's status, the greater his influence.

This is the end of Summary 4. Now, go to the next page and take Summary Pre-Quiz 4.

Summary Pre-Quiz 4

Authority and Status

Answer the following questions as indicated in your Student Guide.

---

1. ENS Smith, a recent graduate from the Naval Academy, reports aboard the USS Long Beach (CLGN-9) and is interviewed in the Executive Officer's stateroom by CDR Bright to determine the department to which ENS Smith will be assigned. ENS Smith is greatly impressed by the obvious status of the Executive Officer.

Which of the following best defines status in the example above?

a. The physical arrangements of the Executive Officer's spacious stateroom

b. The personal charm of the Executive Officer, combined with his expertise in management

c. The prestige his rank alone commands

d. The totality of attributes that rank and relate him within the organization

---

2. Which choice describes a function of status in an organization?

a. Maintains effective and authoritative communications

b. Provides incentive

c. Develops a greater sense of responsibility

d. All of the above

3. Which of the following are symbols of status?

a. Title, pay, and physical arrangements

b. Privileges and ceremonies of induction and appointment

c. Both of the above

d. None of the above

---

4. The USNA Brigade Commander calls a meeting of all battalion and regimental commanders to inform them of the liberty policy while the Brigade is in Philadelphia for the Army/Navy game, and to discuss with them disciplinary problems in general. The Brigade Commander has obvious status over all midshipmen.

Which statement <u>best</u> describes the role of the Brigade Commander's status?

a. The Brigade Commander's status makes him ultimately responsible for the conduct of the Brigade.

b. A degree of status above all others helps the Brigade Commander to effectively enforce policy decisions.

c. The Brigade Commander's status fulfills a requirement as delineated in Navy Regulations.

d. The status of the Brigade Commander ensures that there will be no infractions of his policy.

5. Which best states the reason for Navy rank insignia?

a. Navy rank insignia enable personnel to know whom to salute.

b. Navy rank insignia enable personnel to detect the status of others immediately.

c. Navy rank insignia enable personnel to identify their superiors in the chain of command.

d. Navy rank insignia enable personnel to detect professional competence.

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 4

1. d
2. d
3. c
4. b
5. b

If you missed one or more questions go to the next page and go through Programed Sequence 4.

Programed Sequence 4

Authority and Status

In this frame sequence, you will learn how status functions in an organization, and how status relates to authority.

---

1 Status is the totality of attributes that relate and rank individuals in an organization.

Which of the following statements is correct?

a. Status is concerned with the classification of individual personality attributes.

b. Status is concerned with a person's prestige or standing within a group.

c. Both of the above

d. None of the above

---

2 One of the functions of status is to maintain effective and authoritative communications within organizations.

Which statement supports this function of status?

a. Status ensures that subordinates will follow the chain of command.

b. Status provides an incentive for subordinates to follow directions given by superiors.

c. Both of the above

d. None of the above

3 LTJG Smith, the XO of the USS Dash (MSO-428), recently reported aboard and in reviewing procedures discovered that the previous XO required all routine reports, training, equipment status, etc., to be submitted to him for signature prior to delivery to the Captain. With the approval of the CO, the XO tells his department heads to submit these direct to the CO, with a file copy to him. This way the Captain gets the word faster, and the department heads realize that the Captain is aware of their efforts because he sees their signatures on more correspondence. Consequently, the morale of the department heads is improved.

Which states another function of status in an organization?

a. It provides organizational incentives.

b. It develops a greater sense of responsibility.

c. Both of the above

d. None of the above

---

4 Which statement correctly defines status?

a. Status is the totality of attributes that relate and rank individuals in an organization.

b. Status is the rank of an individual that relates him to an organization.

c. Both of the above

d. None of the above

5 There are many symbols of status.

ENS Bancroft is excited about his upcoming promotion to LTJG. He has been informed that the Captain will personally pin on the new bar at a personnel inspection in the presence of ENS Bancroft's wife and guests.

Which of the following are symbols of status?

a. Title and pay

b. Ceremonies of induction and appointment

c. Both of the above

d. None of the above

---

6 The Commandant at the US Naval Academy stated that it would be his policy to assign the best rooms to all first class midshipmen and, in addition, to allow them to miss Saturday evening meal formation.

Which are symbols of status?

a. Physical arrangements

b. Privileges

c. Both of the above

d. None of the above

---

7 Which statement correctly describes a function of status in an organization?

a. It develops a greater sense of security.

b. It maintains effective and authoritative communications within organizations.

c. Both of the above

d. None of the above

8 Status plays an important part in maintaining authority in organizations. A person does not like to take orders from an equal.

What can you infer from this?

a. A status system makes compliance easier because a degree of inequality is rationalized.

b. A status system ensures compliance through the threat of punishment.

c. Both of the above

d. None of the above

---

9 In the relationship of status to authority, external signs of status reinforce the authority relationship.

Which statement is an example of this?

a. Rank insignia in the Navy allow subordinates to detect the status of an individual immediately, and commands respect for that position even though little or nothing is known about the individual.

b. The need to provide communications in any situation is filled by the recognized military status system.

c. Both of the above

d. None of the above

10 The Captain of a carrier is responsible for his command and all hands are subject to his authority. He has his own living quarters and messing facilities as well as a sea cabin for his use when the ship is underway. The Executive Officer does not have a separate mess or sea cabin.

Which of the following is true?

a. The higher a man's status, the greater his influence.

b. The higher a man's status, the greater his education and competence.

c. Both of the above

d. None of the above

---

11 Which correctly states a function of status in an organization?

a. It ensures that communication breakdowns will not occur.

b. It develops a greater sense of responsibility.

c. Both of the above

d. None of the above

---

12 Which correctly describes the reason for Navy rank insignia?

a. To allow subordinates to detect the status of an individual immediately.

b. To allow personnel to detect the branch of Armed Services to which an individual belongs.

c. Both of the above

d. None of the above

13 Which statement correctly describes how status maintains authority?

a. Status makes compliance with orders easier because a degree of inequality is rationalized.

b. External signs of status reinforce the authority relationship.

c. Both of the above

d. None of the above

---

14 Which statement correctly describes the function of a status system in an emergency situation?

a. A status system fills the need to give authority to communications in an emergency situation.

b. A status system prohibits the occurrence of panic among men in an emergency situation.

c. Both of the above

d. None of the above

15 ENS Bancroft has qualified as special sea detail OOD on the USS Estes (LCC-12). While entering port, ENS Bancroft relays an order from the CO, contrary to previous instructions, to lower #2 motor boat prior to lowering the gig.

LT Sweat, new aboard the Estes, hears the word from his phone-talker and insists that he be assured that the word came from the CO personally. When the OOD (ENS Bancroft) hears this request, he responds that an order from the OOD is sufficient authority in itself. LT Sweat acknowledges and follows the order.

Which statement correctly identifies the factors here which give the leader status?

a. The status and authority of the OOD are prescribed by Navy Regulations.

b. The fact that ENS Bancroft is qualified whereas LT Sweat is not.

c. Both of the above

d. None of the above

---

16 Which statement correctly describes a function of status?

a. It provides organizational incentives.

b. It develops a greater sense of responsibility among personnel.

c. Both of the above

d. None of the above

17 Which statement is true of status?

a. Status is concerned with a person's prestige or standing within a group.

b. Status depends in part on responsibility: assume responsibility and you obtain status.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 4. Now, go to the next page and take Summary Post-Quiz 4.

Summary Post-Quiz 4

Authority and Status

Answer the following questions as indicated in your Student Guide.

---

1. Which of the following are symbols of status?

   a. Privileges and ceremonies of induction and appointment

   b. Title, pay, and physical arrangements

   c. Both of the above

   d. None of the above

---

2. Which best states the reason for Navy rank insignia?

   a. Navy rank insignia enable personnel to identify their superiors in the chain of command.

   b. Navy rank insignia enable personnel to detect the status of others immediately.

   c. Navy rank insignia enable personnel to know whom to salute.

   d. Navy rank insignia enable personnel to detect professional competence.

3. ENS Smith, a recent graduate of the Naval Academy, reports aboard the USS Long Beach (CLGN-9) and is interviewed in the Executive Officer's stateroom by CDR Bright to determine the department to which ENS Smith will be assigned. ENS Smith is greatly impressed by the obvious status of the Executive Officer.

Which of the following best defines status in the example above?

a. The personal charm of the Executive Officer, combined with his expertise in management

b. The physical arrangements of the Executive Officer's spacious stateroom

c. The totality of attributes that relate and rank him within the organization

d. The prestige his rank alone commands

---

4. Which choice describes a function of status in an organization?

a. Develops a greater sense of responsibility

b. Maintains effective and authoritative communications

c. Provides incentive

d. All of the above

5. The USNA Brigade Commander calls a meeting of all battalion and regimental commanders to inform them of the liberty policy while the Brigade is in Philadelphia for the Army/Navy game, and to discuss with them disciplinary problems in general. The Brigade Commander has obvious status over all midshipmen.

Which statement best describes the role of the Brigade Commander's status?

a. A degree of status above all others helps the Brigade Commander to effectively enforce policy decisions.

b. The status of the Brigade Commander ensures that there will be no infractions of his policy.

c. The Brigade Commander's status makes him ultimately responsible for the conduct of the Brigade.

d. The Brigade Commander's status fulfills a requirement as delineated in Navy Regulations.

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 4

1. c
2. b
3. c
4. d
5. a

This is the end of Part Six, Segment I.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment I

Concept of Authority

Progress Check

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

CONCEPT OF AUTHORITY

PROGRESS CHECK

Question 1.

LTJG Sharp, SC, USN, has been designated beach guard officer during a brief visit of the USS John F. Kennedy (CVA67) to Barcelona, Spain. Just prior to expiration of liberty, a fight breaks out on the fleet landing. LTJG Sharp immediately takes charge and quells the disturbance, placing the offenders on report.

Which statement correctly describes the basis of LTJG Sharp's authority?

a. LTJG Sharp's authority comes from the Captain of the USS John F. Kennedy.

b. LTJG Sharp's authority is derived through Navy Regulations which prescribe that all officers shall have necessary authority for performance of their duties.

c. The respect which the enlisted men have for the shore patrol is the basis of LTJG Sharp's authority.

d. LTJG Sharp's responsibility necessitates his authority, since authority and responsibility are commensurate.

Question 2.

LTJG Winkle, a good friend of LTJG Boone, is serving as OOD when he finds it necessary to issue an order prohibiting smoking, due to the unloading of some particularly dangerous munitions. LTJG Boone, in his quarters below, is not aware of the circumstances surrounding the order and is noticeably slow in complying.

Which statement gives the best explanation of LTJG Boone's behavior?

a. LTJG Boone believed that he would not be placed on report by LTJG Winkle.

b. LTJG Boone feels that orders should be issued through the chain of command.

c. LTJG Boone is attempting to reject peer authority.

d. LTJG Boone feels the no smoking regulation is ridiculous but does not desire to get caught violating it.

Question 3.

The MCMO is exercising authority over the Main Office Watch. Things seem to be proceeding with smartness and precision. Each of the watch participants appears to be carrying out the MCMO's orders in a skillful, prompt, and courteous manner. This MCMO had taken the time to emphasize each man's importance to the team effort, and commend each individually as he succeeds.

Which of the following statements best describes the power the MCMO is using?

a. The MCMO is adding power/influence to his formal authority by closely supervising his subordinates.

b. The MCMO is relying on the natural inclination of the members of the watch to obey those placed in charge.

c. The MCMO is adding power/influence to his formal authority by pretending to be each man's buddy.

d. The MCMO is adding power/influence to his formal authority by proper use of leadership skills.

Question 4.

Which of the following paragraphs best describes the source of authority in social groups (according to the formal authority theory)?

a. Each social group determines its own method (intentionally or spontaneously) of establishing authority in terms of its own folkways and mores.

b. Social groups determine their sources of authority in accordance with the dictates of the political structure of the country in which they live.

c. The source of authority in a social group is the same as the source of its income, for no group can survive without an economy.

d. A social group's authority originates through traditions, customs, and regulations.

Question 5.

ENS Fairplay has counseled SN Tardy on several occasions regarding his frequent failures to relieve the watch on time. SN Tardy once again shows up late to relieve the watch.

Which of the following statements correctly describes the action ENS Fairplay can take to improve Tardy's performance?

a. Restrict SN Tardy's liberty during the next in-port period.

b. Assign SN Tardy extra duty.

c. Assign SN Tardy an hour's extra instruction on matters pertaining to relieving the watch on time.

d. Administer any punishment which he feels pertains to SN Tardy's offense.

Question 6.

The acceptance theory offers what significant cues in ascertaining whether or not an individual is an effective leader?

a. According to the acceptance theory, the effective leader extends his support by developing his skills in working with people and increasing his sphere of authority as defined by his subordinates.

b. According to the acceptance theory, the effective leader extends his support through developing his communication skills and slowly acquiring more competent associates.

c. According to the acceptance theory, the effective leader extends his support by emphasizing caution in all his actions.

d. All of the above

Question 7.

MIDN Carter came to the U. S. Naval Academy after going to military school and serving one year as an enlisted Marine. He helped the other plebes adjust to military life by such things as holding military drill in their spare time.

Which theory of authority does this example illustrate?

a. Synthesis

b. Acceptance

c. Formal authority

d. Competence

Question 8.

During the intensive training period in Swift Boats on the West Coast, LT Daniels frequently gave his crews sudden orders to conduct maneuvers that were not being taught in the training course. LT Daniels had no practical or combat experience upon which he could base his rationale for the maneuvers but his crews carried out the orders as directed. For administrative reasons, however, LT Daniels could not deploy with the boats to Vietnam. LT Zacharian, who had already spent 18 months in Vietnam, volunteered for the duty. The Swift Boat personnel were impressed with LT Zacharian from the beginning. He knew the boats, how to operate them and every item of equipment on the boats. LT Zacharian took the boats out for a last minute training exercise. He also ordered the boats into maneuvers that had not been taught in school but there was not the least hesitancy on the part of the crews in carrying out the orders.

How would you identify the response of the Swift Boat crews to LT Daniels and LT Zacharian according to the 6 theoretical approaches to authority?

a. To LT Daniels--acceptance theory
   To LT Zacharian--competence theory

b. To LT Zacharian--acceptance theory
   To LT Daniels--formal authority plus custom

c. To LT Zacharian--formal authority plus custom
   To LT Daniels--acceptance theory

d. None of the above

Question 9.

Which of the following statements best indicates the relationship between the formal authority theory and the acceptance theory?

a. The two theories may not be mutually exclusive.

b. Authority depends essentially on both the traditional social/ownership foundation and the acceptance by subordinates functioning as a group.

c. Both of the above

d. None of the above

Question 10.

Which of the following statements best describes the difference between the authority of a junior officer, his coercive power, and acceptance of his exercise of authority?

a. A junior officer has sufficient authority to accomplish his objectives; but, since his power is usually limited to putting a man on report or otherwise pressing charges against him, he should work on leadership qualities that will gain acceptance for him.

b. A junior officer has little authority or power, but his subordinates are so accustomed to obeying officers that they will automatically accept what authority he chooses to exercise.

c. A junior officer has limited authority, but is given a great deal of power to enforce that authority, so acceptance by his subordinates is of secondary importance.

Question 11.

MIDN Simpson is commander of 4th Company. He has the authority to command his own company, but he can exercise only limited authority over midshipmen in other companies.

Which statement describes this limit to his authority?

a. His authority is limited by the acceptance or rejection of his subordinates.

b. His authority is limited by established procedures (the chain of command).

c. His authority is limited by the tapering concept.

d. All of the above

Question 12.

MIDN Slash has been scheduled for a course of instruction that uses the IBM 1600 computer to present the classroom instruction. The entire course is programed on the computer from core material to tests, remediation, and enrichment. MIDN Slash is eager to get through the course so he can have more free time for pre-June Week activities. Although MIDN Slash has had previous computer instruction, several members of the class have had no background on computers and they find it very time consuming to go through the programs. They constantly need instruction. Because of overall Federal cutbacks last year, the Computer Center was unable to purchase the latest state of the art computer. The single IBM technician available for the 12 terminals does an outstanding job in keeping the classroom in an "up" status. Even so, midshipmen often must sit and wait for the computer on many occasions to cycle the right answer or search for the remediation section.

The constraint that is keeping MIDN Slash from going through the course faster is:

a. A social constraint
b. An economic constraint
c. A technological constraint
d. A physical constraint

Question 13.

A task force is operating under electronic silence. Prior to the execution of a signal for a vital maneuver, visibility is reduced so that visual communications cannot be used.

Which type of constraint is illustrated above?

a. A technological constraint
b. A physical constraint
c. A biological constraint

Question 14.

LTJG Wasserman went straight through for his Ph.D. by the time he was 25, then joined the fleet as officer in charge of a special project. Among those under him were several civilians who had quite a bit of seniority. They frequently questioned his decisions and gave unasked advice.

What constraint is working against his authority here?

a. Lack of status congruency
b. Environment
c. Chain of command

Question 15.

LTCOL Gill, the senior Marine officer at the USNA, called in MIDN McCormick for counseling. MIDN McCormick was impressed by LTCOL Gill's large office, the citations on the wall, the ribbons on his uniform and other indications of a distinguished military career. Responding favorably to all of this, MIDN McCormick heeded the colonel's counsel.

What elements of this situation gave LTCOL Gill status?

a. His title

b. His office arrangements

c. His uniform, with its ribbons and other insignia

d. All of the above

Six/I/RPF INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PROGRESS CHECK ANSWER AND REMEDIATION FORM

PART Six SEGMENT I

REMEDIATION TEXT Syndactic Text, Volume VI-A

ITEM	ANSWER	REMEDIATION REFERENCE
1	b	Summary 1: Page 1
2	c	Summary 1: Pages 2-3
3	d	Summary 1: Pages 1-3
4	a	Summary 2: Page 29
5	c	Summary 2: Pages 29-30
6	a	Summary 2: Pages 30-31
7	d	Summary 2: Page 31
8	a	Summary 2: Pages 29-32
9	c	Summary 2: Pages 29-32
10	a	Summary 2: Pages 29-30
11	b	Summary 2: Pages 29-30
12	c	Summary 3: Pages 65-67
13	b	Summary 3: Pages 65-67
14	a	Summary 3: Pages 65-67
15	d	Summary 4: Page 87

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment II

Why People Accept/Resist Authority

Syndactic Text

Single Volume

(ST/SV)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

FOREWORD

"Theirs not to make reply,
theirs not to reason why,
theirs but to do and die."

Tennyson,
"The Charge of the Light Brigade"

These lines from the Victorian era strike some as being particularly out of date. Even casual readers of today's newspapers would gain the impression that more people resist authority than accept it. Actually the opposite is true. Every group or organization owes its continued existence to the fact that group members accept the authority of someone else. Again, there are no absolutes. The most law-abiding citizen may flaunt some particular aspect of authority, and the wide-eyed anarchist often attempts to establish his own authority over others. This segment discusses the theory, conditions, and manifestations of authority acceptance or rejection, for a wise leader understands the realities of his authority.

WHY PEOPLE ACCEPT/RESIST AUTHORITY

Summary 1

Acceptance of Authority

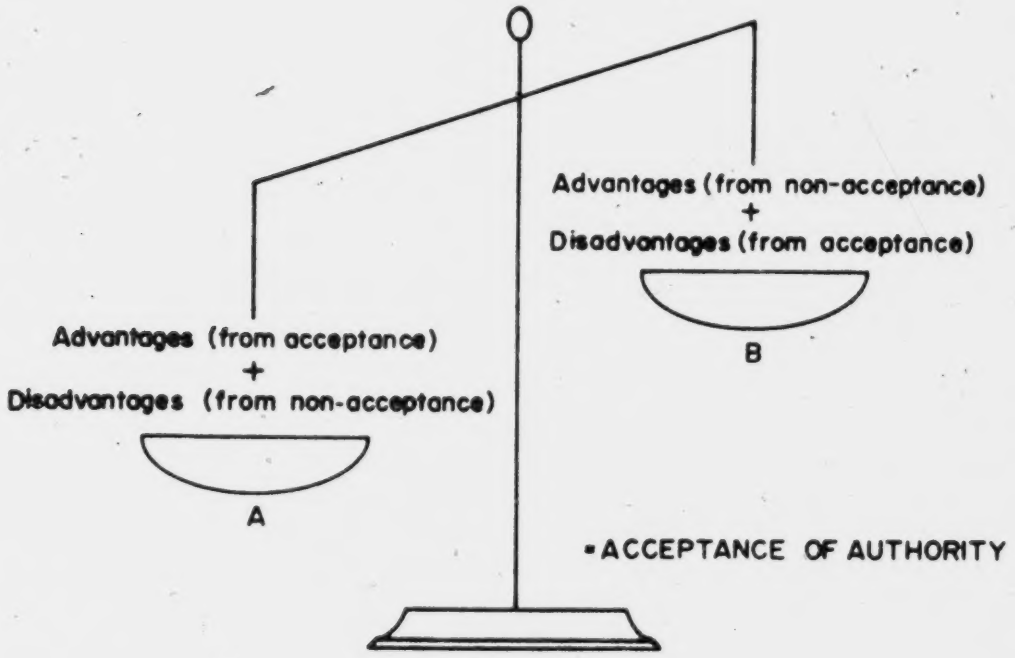
Subordinates do not automatically accept authority. The following conditions must simultaneously prevail before a subordinate can and will accept a communication as authoritative?

1. He can and does understand the communication.
2. He believes the communication is consistent with the purpose of the organization and that it is compatible with his own personal interests.
3. He is mentally and physically able to comply with the communication.

Psychologist Robert Tannenbaum offers a further explanation of subordinate acceptance of authority. His hypothesis is: An individual will accept an exercise of authority if the advantages accruing to him from accepting, plus the disadvantages accruing to him from not accepting, exceed the advantages accruing to him from not accepting, plus the disadvantages accruing to him from accepting.

Tannenbaum's hypothesis is illustrated graphically on the following page.

TANNENBAUM'S HYPOTHESIS



The converse of Tannenbaum's hypothesis is also true. If the latter factors (combination B on the above scale) exceed the former (combination A on the scale), the subordinate will not accept an exercise of authority. In other words, acceptance or rejection of an exercise of authority (an order) involves a decision between two alternatives. This choice is made only after the individual (the subordinate) has appraised the consequences--both positive and negative--which are attendant upon each alternative.

A subordinate might perceive any or all of the following factors as desirable consequences or advantages to be accrued by complying with an order.

In complying with an order, the subordinate might:

1. Be contributing toward the attainment of an objective which he considers to be good
2. Obtain approval from his associates
3. Be rewarded/accepted by his superior
4. Be adhering to moral standards (insofar as many individuals believe it is morally right to obey duly constituted authorities)
5. Avoid accepting responsibility. (Some individuals find it easier to accept directions, especially when the orders call for the accomplishment of an agreeable task; and to let others make decisions for them, especially when the decision concerns matters outside their experience or competence.)
6. Avoid possible disciplinary action.

An individual might also decide to accept an order because of the disadvantages he would accrue by not accepting. These disadvantages might include:

1. Punishment or fear of punishment by his superior. (This is especially true in the military, where by law the leader has certain coercive enforcement authority at his disposal, and where punishment may range from a reprimand to sentence by courts-martial.)
2. Disapproval from fellow members of the organization

Often the acceptance of authority does not entail a conscious choice between acceptance and rejection. Rather, it reflects unconscious habitual processes. For example, one reason for unquestioning obedience of orders in the military organization is that compliance with orders becomes more or less habitual.

A factor which accounts for the unconscious acceptance of authority may be the general culture. In our society, individuals have been conditioned throughout their lives to accept authority. This conditioning process begins in childhood, when the individual accepts his parents' decisions about certain matters and develops an area of acceptance in which he will obey without too much question. This process of conditioning is reinforced as the child enters school and church, and initiates other formal and informal associations. As a result of learning a measure of obedience to parents and others, most people easily generalize to accepting orders in new situations. In formal organizations, be they business or military, this social conditioning reinforces the authority relationship. Obeying a superior becomes, for many people, simply an habitual mode of behavior.

An individual's unquestioning acceptance of authority lies within what Chester Barnard calls the "zone of indifference." Barnard groups orders according to their acceptability to the subordinate. Group A consists of those orders which are

clearly unacceptable, i.e., which would not be obeyed. Group B consists of those orders which the subordinate will accept or reject only after he has weighed alternatives and consequences. Group C lies within the zone of indifference and consists of those orders which the subordinate would accept without question.

Tannenbaum uses the term "sphere of acceptance" to refer to essentially the same idea; i.e., that leadership depends upon the subordinate's unquestioning acceptance of authority.

This is the end of Summary 1. Now, go to the next page and take the Quiz.

Summary Pre-Quiz 1

Acceptance of Authority

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes what is meant by "zone of indifference?"

   a. Subordinates differentially resent and resist all authority.

   b. Subordinates accept directions without question and are relatively indifferent as to what the orders are.

   c. Subordinates' responses to superior's orders are fairly automatic, but subordinates require some explanation before they act upon the orders.

   d. Subordinates sometimes resist authority by carrying out a superior's orders in an indifferent and half-hearted manner.

2. MIDN Martin is a new plebe. Although he is a qualified swimmer, he finds that an additional requirement for every midshipman is a jump from the high diving platform. Martin has always been afraid of heights, nevertheless he jumps.

Which considerations influence his decision?

a. Disadvantages accrue to him from non-acceptance.

b. Advantages accrue to him from acceptance.

c. Both of the above

d. None of the above

---

3. A subordinate will accept or reject an exercise of authority only after he has appraised, to the extent possible, the consequences--both positive and negative--attendant upon each of these alternatives.

To which of the following does this statement refer?

a. Tannenbaum's hypothesis

b. Barnard's zone of indifference

c. Robert's rules of acceptance

d. "Social conditioning" theory of authority

4. Which statement correctly describes a prerequisite for acceptance of authority by subordinates?

a. Subordinates must like and respect their superior.

b. Qualities of leadership exhibited by a leader, such as technical competence, must be superior to those of the subordinate.

c. Subordinates must understand the superior's command and feel that the command is consistent with organization purpose.

d. A superior's command must reflect an acceptance of responsibility for the order given before the subordinate will comply.

---

5. Which is a possible disadvantage to a subordinate for non-acceptance of authority?

a. Approval from associates

b. Avoidance of possible disciplinary action

c. Responding because of qualities of leadership exhibited by superior

d. All of the above

e. None of the above

Now, check your answers on page 10.

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ANSWERS TO SUMMARY PRE-QUIZ 1

1. b
2. c
3. a
4. c
5. e

If all your answers are correct go to Summary 2 on page 37.
If you missed one or more questions go to Programed Sequence 1 on the next page.

Programed Sequence 1

Acceptance of Authority

OVERVIEW: Since the sphere of authority possessed by a superior is defined for him by the sphere of acceptance of his subordinates, it is important to inquire into the factors which determine this latter sphere. In this programed sequence, you will learn why subordinates accept, rather than reject, the authority of their superiors.

---

1 Chief Jones is told by his Division Officer to refrain from chewing out subordinates until he has: (1) found out why they acted as they did, (2) made them see where they were wrong, and (3) tried to persuade them to do better in the future. Chief Jones' perception of the order is: "The lieutenant is getting soft; coddling the men will only lead to ineffective performance and a breakdown of discipline."

From this example, which inference might you draw?

a. Communication, unless it is an order, does not carry authority.

b. Although a superior may have the authority to issue an order, the subordinate will not accept the communication as authoritative unless the subordinate can and does understand the communication.

c. Both of the above

d. None of the above

2 In order for subordinates to accept the authority of a decision, the following is necessary: At the time of the decision, the subordinate must believe that it is not inconsistent with the purpose of the organization.

Which of the following examples best illustrates this condition?

a. A brand new plebe responds to the communication "Move aside!" but he does not respond to "Gangway!" because he does not understand this naval term.

b. A subordinate keeps accounts as ordered by his senior until he is told to falsify the accounts.

c. Both of the above

d. None of the above

---

3 A subordinate can and will accept a communication as authoritative in which of the following cases?

a. He can and does understand the communication and believes that it is consistent with organizational purpose.

b. He understands the order within the confines of his ability, but believes the order to be inconsistent with the purpose of the organization.

c. He does not understand the directive, but assumes it to be consistent with organizational purpose.

4 During a field exercise, tank commander Boyle has been assigned the mission of reaching a certain location at a designated time in order to support the ground troops situated there. Prior to the field exercise, he is directed not to move his vehicles along a certain road; however, due to difficulties encountered en route, he realizes that he will be unable to reach his objective on time unless he takes the prohibited road. Knowing that his performance will be judged on whether or not he completes his mission, he decides to disobey the order.

From this example, you might infer that a communication will not carry authority unless the subordinate believes:

a. That the order is compatible with his own personal interests and consistent with the purpose of the organization

b. That the order is inconsistent with the interests of the organization, but compatible with his own personal interests

c. That the order is consistent with organizational purposes, but incompatible with his own personal interests

5 Another prerequisite necessary for a subordinate to accept a communication as authoritative is that he be mentally and physically able to comply with it. If a leader gives an order that a subordinate cannot mentally or physically fulfill, the communication will not carry authority.

Which example illustrates this condition?

a. MIDN Blau is ordered to complete the mile run within a specified time limit in order to pass his PE qualification test. Blau is not in top physical condition and fails to comply with the order.

b. MIDN Blau is assigned the duties of Battalion Supply Officer. He must keep the companies supplied with the proper number of regulation books and forms. In addition, he is to be responsible for the accountability of the computerized meal chit system. Blau states that he cannot take the job on the grounds that he is not knowledgeable in accounting or computer science.

c. Both of the above

d. None of the above

6 Which correctly identifies two prerequisites necessary for the acceptance of authority by subordinates?

a. The subordinate considers the communication to be at odds with his own interests, and the subordinate is emotionally able to comply with the order.

b. The subordinate believes the order to be compatible with his own personal interests, and the subordinate is mentally and physically able to comply with the order.

c. The subordinate believes the directive to be inconsistent with organizational purposes, but is mentally able to comply.

---

7 A subordinate can accept the authority of a command when all conditions (prerequisites) coincide.

Which statement is true?

a. All the conditions must be fulfilled before a subordinate will comply with an order.

b. If only one of the conditions is met, the subordinate will comply with an order.

8 MIDN Wise, a squad leader, was accustomed to bawling out his men whenever they made mistakes or broke regulations. During a course in practical leadership, MIDN Wise was told by his Company Officer that he should try to create an atmosphere of approval rather than relying on the negative approach of censuring what is wrong; that he should comment favorably on occasion for good performance of daily tasks; and that poor performances not attributed to negligence should be handled by constructive criticism. MIDN Wise disregarded the advice and persisted in his accustomed practice.

Select the group which correctly matches MIDN Wise's comment about the Company Officer's suggestion with the condition which was not fulfilled.

a. "The Navy isn't what I expected it to be; the officers are getting soft."

b. "You can't get performance out of the midshipmen that way."

c. "If I do it the Company Officer's way, I'll never get two stripes."

1) Subordinate is physically and mentally able to comply.

2) Subordinate can and does understand the communication.

3) Subordinate believes the communication is not inconsistent with the purpose of the organization.

4) Subordinate believes the communication to be incompatible with his own personal interests.

a. a-1, b-3, c-2

b. a-2, b-3, c-4

c. a-2, b-4, c-1

d. a-4, b-1, c-2

9 Which paragraph correctly describes the prerequisites necessary for the acceptance of authority by subordinates?

a. A subordinate can and will accept a communication as authoritative only when the following conditions prevail simultaneously: (1) He understands it. (2) He believes it consistent with organizational purpose and not at odds with his own interests. (3) He is mentally and physically able to comply with it.

b. A communication will not be accepted as authoritative if it is given in a language which the subordinate doesn't understand. Before a communication can be complied with, it must be inconsistent with the purpose of the organization, and the man must be physically and mentally able to carry it out.

c. Both of the above

d. None of the above

10. Aboard a DD, several men were awarded special courts-martial and the CO was anxious to complete the cases prior to arriving in CONUS. The commitment of five officers for the court, plus trial counsel and defense counsel, placed a tremendous burden on the officers' watch bill. The only qualified OOD remaining was the Executive Officer, who agreed to stand all the OOD watches during the sessions. Prior to arrival at Pearl Harbor, the CO sent a note to the XO directing him to schedule a below-decks inspection before arriving in Long Beach, California. Because of the courts-martial, the XO felt it would be impractical to prepare properly for such an inspection. The XO proposed to the CO that the CPOs conduct an informal inspection in lieu of a formal one. The Captain insisted that it be done in accordance with existing directives and the sooner the better. The XO kept resisting the CO's order and was reprimanded for his behavior.

Select the statement which correctly explains the XO's action.

a. He did not understand the Captain's desire to hold a formal below-decks inspection.

b. He did not believe an inspection was consistent with the ship's other activities and purposes, such as the special courts-martial.

c. He was not mentally able to comply with the wish of the Captain.

d. He did not believe the order to be compatible with his personal interests.

OVERVIEW: Further explanation of subordinate acceptance of authority is found in the Tannenbaum hypothesis. According to psychologist Robert Tannenbaum, acceptance and rejection involve a decision between two alternatives. In this frame sequence, you will learn about Tannenbaum's hypothesis governing an individual's acceptance of authority and several of the possible advantages which can influence a subordinate in accepting or not accepting an exercise of authority.

---

11 Read Figure 1 on the next page. According to Tannenbaum, the choice between acceptance or rejection of authority involves a decision between two alternatives.

This means that before a subordinate will or will not accept an order, he will do which of the following?

a. Weigh the alternatives and the subsequent consequences (rewards and penalties) of each and then not comply.

b. Make an evaluation of the consequences--both positive and negative--attendant upon each alternative and then accept or reject the order.

c. Evaluate the advantages and disadvantages in accepting and not accepting, and then obey the order.

TANNENBAUM'S HYPOTHESIS

An individual will accept an exercise of authority if the advantages accruing to him from accepting, plus the disadvantages accruing to him from not accepting, exceed the advantages accruing to him from not accepting, plus the disadvantages accruing to him from accepting; and conversely, he will not accept an exercise of authority if the latter factors exceed the former.

Figure 1

12 Which is an example of the Tannenbaum explanation of a subordinate's acceptance of authority?

a. The OOD gives the following order to the coxswain of a motor launch. "Coxswain, make the officer's landing at Old Point Comfort; pick up the First Lieutenant and return to the ship."

b. A civilian employee is a member of a group restricting output in opposition to a new wage plan. If the employee produces the maximum possible output, he can earn more and may get a desired promotion. On the other hand, if he does not produce, he may receive the approval of his fellow workers and gain additional status in the group.

c. Both of the above

d. None of the above

13 Marine SGT Roper has recently taken over as platoon sergeant of a reconnaissance group which is presently taking part in a survival training exercise. As stated by the Platoon Commander, one of the requisites is that every member of the platoon rappel down a 90-foot cliff. SGT Roper feels reluctant about descending the cliff because he has a slightly sprained knee. After appraising the consequences, he decides that the positive consequences (prestige, status, broader experience) plus the negative consequences (possible further injury) accruing to him upon rappelling are greater than the positive consequences (absolute assurance of not being injured) and negative consequences (disapproval by the Platoon Commander and loss of esteem by his men) for not rappelling.

In the situation above, what would SGT Roper (the subordinate) do?

a. Accept the Platoon Commander's exercise of authority.

b. Reject the Platoon Commander's exercise of authority.

14 Figure 2 on the next page will help you answer the next series of frames. Contribution to the attainment of an objective (recognized as good) and approval from associates are only two of many positive consequences.

ENS Wolanski has been assigned by his Department Head to set up on-board training courses for advancement in rating. Although ENS Wolanski recognizes this as a worthwhile objective, he also realizes that another advantage can accrue to him.

What is this advantage?

a. Avoidance of possible disciplinary action

b. Reward from his senior

c. Both of the above

d. None of the above.

---

15 Which correctly lists advantages underlying a decision to accept authority?

a. Approval from associates; obtaining rewards from superior(s); and contribution to the attainment of an objective which is recognized as good.

b. Social acceptance by peers; disapprobation from members of the organization; participation in mission accomplishment of worthwhile objectives.

c. Both of the above

d. None of the above

ADVANTAGES IN ACCEPTING

1) Contribution to the attainment of an objective (recognized as good)
2) Approval from associates
3) Rewards from senior(s)
4) Adherence to moral standards
5) Avoidance of accepting responsibility
6) Avoidance of possible disciplinary action

DISADVANTAGES IN NOT ACCEPTING

1) Punishment by senior(s)
2) Fear of punishment by senior(s)
3) Disapproval from associates

Figure 2. Possible Advantages and Disadvantages in Accepting or not Accepting an Exercise of Authority

16 Most individuals believe it is morally and justifiably right to obey duly constituted authorities.

From this, what can you infer of a subordinate who easily accepts authority?

a. He will attain an opportunity for advancement.

b. He may be acting in accordance with his own ethical code.

c. Both of the above

d. None of the above

17 Some individuals find it easier to accept directions than to make their own decisions, especially if the task is not unpleasant or if the decision in question lies outside the experience and competence of the subordinate.

What kind of advantage might accrue to these individuals?

a. They attain approval and status within their immediate group.

b. They avoid the necessity of accepting responsibility.

c. Both of the above

d. None of the above

---

18 AB3 Beagle is a member of a carrier catapult crew which has been given the task of removing the deck plates in order to inspect the catapult tubes. The catapult officer tells AB3 Beagle to do this job by means which appear to be questionable, so Beagle questions the order. The catapult officer repeats his instructions and AB3 Beagle complies.

From this situation, what advantage might you infer would accrue to a subordinate for accepting authority?

a. He will be avoiding accepting responsibility.

b. He will be avoiding possible disciplinary action.

c. Both of the above

d. None of the above

19 Which correctly lists possible advantages accruing to an individual from accepting authority?

a. Avoidance of responsibility; adherence to moral standards; avoidance of possible disciplinary action.

b. Responding because of leadership qualities; belief in organizational purpose; fear of punishment; social disapproval of associates.

c. Both of the above

d. None of the above.

---

20 SN Smith, aboard an LST, has 40 days leave coming to him when his ship returns to Norfolk from a deployment with the 6th Fleet. Smith has applied for 20 days leave, since his wife is expecting their first child. The ship's policy on leave, published en route, states that in order to cover manpower requirements and give all hands a chance to take leave, each man may receive no more than 15 days leave. ENS Fox informs SN Smith that he can't approve a 20-day leave, stating that the ship's policy stands until he, ENS Fox, requests and obtains a change.

Why did ENS Fox act as he did?

a. He was avoiding accepting the responsibility and possible disciplinary action.

b. He found it easier to accept direction than to make his own decision, since the decision was outside his realm of authority.

c. Both of the above

d. None of the above

21 Under which of the following conditions can and will a subordinate accept a communication as authoritative?

a. When he understands it, believes it consistent with organizational purpose and not at odds with his own interests, and when he is mentally and physically able to comply with it.

b. When the senior frames and transmits decisions which the subordinate understands and which he is physically and mentally able to comply with, regardless of whether it is in accordance with the objective and the purpose of the organization.

c. Both of the above

d. None of the above

---

22 An individual might also decide to accept an exercise of authority because of the disadvantages accruing to him from not accepting. Disadvantages for non-acceptance usually involve punishment or fear of punishment.

Which is an example of this type of disadvantage?

a. MIDN Jones obeys his seniors out of respect for their ability, experience, personality, and other general qualities of leadership.

b. During summer training, MIDN Baker reports immediately to his duty station because failure to do so will involve disciplinary action.

c. Both of the above

d. None of the above

23 While in garrison, enlisted personnel above sergeant can jump the chow line. In the field, however, the implicit order is that they eat after the rest of the men. SGT Gordo accepts this exercise of authority and always eats last while in the field.

From this, what disadvantage for non-acceptance may you infer?

a. Disapproval from members of the organization

b. Fear of punishment by senior

c. Both of the above

d. None of the above

---

24 Match the determinant for acceptance of authority listed in the left hand column with the appropriate factors.

a. Advantage from acceptance	1) Contribution to the attainment of an objective recognized as being good
b. Disadvantage from non-acceptance	2) Approval from associates
	3) Rewards from senior
	4) Punishment or fear of punishment
	5) Adherence to moral standards
	6) Disapproval from members of the organization
	7) Avoidance of accepting responsibility
	8) Avoidance of possible disciplinary action

OVERVIEW: Directions are often obeyed without question. In this series of frames, you will learn what accounts for this unconscious acceptance of authority which management scholar Chester Barnard has termed the "zone of indifference."

---

25 Authority is often accepted when conscious processes are not involved, i.e., orders are often obeyed without question. In such cases, which is true?

a. Compliance involves a conscious choice between acceptance and rejection.

b. Compliance is more or less habitual.

c. Both of the above

d. None of the above

---

26 Which of the following statements shows acceptance of authority because of unconscious, habitual processes?

a. An individual obeys an order because he fears extra duty.

b. An individual unhesitatingly answers a call to General Quarters.

c. Both of the above

d. None of the above

27 Throughout their lives, individuals have been conditioned to accept authority. This conditioning process begins when a child learns to obey his parents and develops an area of acceptance which continues as he enters school, the church, business, and other formal and informal organizations.

Which factor would account for this unconscious acceptance of authority?

a. The general culture in our society

b. Submission to written statutes established by civil authority

c. Both of the above

d. None of the above

---

28 In our culture, which includes the roles of order-giving and order-receiving, an individual learns obedience which can be generalized to many different senior-subordinate relationships.

Which of the following would be true?

a. Social conditioning reinforces the authority relationship in an organization, and as a consequence, obedience becomes an habitual mode of behavior for many people.

b. Members of organizations have been conditioned to accept authority; and as a result, some tendency to accept orders comes naturally or as a matter of course for most people.

c. Both of the above

d. None of the above

29 Chester Barnard groups orders according to their acceptability to the subordinate. Group A consists of those orders which are clearly unacceptable and would not be obeyed. Group B consists of those orders which the subordinate will accept or reject only after he has weighed alternatives and consequences. Group C consists of those orders which the subordinate would accept without question. Barnard terms the area in which an individual accepts authority unquestioningly "the zone of indifference."

In the light of the foregoing explanation, which of the following correctly identifies the "zone of indifference"?

a. Group A and Group B

b. Group B and Group C

c. Group C

d. Group B

Note that Tannenbaum has developed a scale of acceptance of authority similar to Barnard's, except that he uses the term "sphere of acceptance" for those orders in Group C.

---

30 Which order for action would probably lie within the "zone of indifference"?

a. A group of men blocking a passageway hear the order "Gangway!"

b. A subordinate, walking his post, is told by a senior to admit him into a restricted area.

c. Both of the above

d. None of the above

31 Which is correct?

a. Within the "zone of indifference," a subordinate will accept or reject an exercise of authority only after he has appraised the consequences attendant upon each of the alternatives.

b. Within the "zone of indifference," responses by a subordinate are fairly automatic and require no explanations by the senior issuing the order.

c. Both of the above

d. None of the above

---

32 Which correctly describes the concept of "zone of indifference"?

a. If all the orders for actions reasonably practicable were arranged in the order of their acceptability to the person affected, there would be a number which would be clearly unacceptable (which would not be obeyed). There would be another group which would involve a decision between acceptance and rejection, and a third group which would be unquestionably acceptable. This last group lies within the "zone of indifference," since authoritative pronouncements are obeyed without question.

b. If an order is accepted by the one to whom it is addressed, its authority for him is confirmed. However, when a demand comes from a senior, there is the possibility the senior may have expressed it on the spur of the moment and that he will later forget about it. Therefore, the subordinate may also proceed to forget about the request and await results. If the senior does not follow up, the subordinate is home free. It is this mode of behavior which is meant by the phrase "zone of indifference."

c. Both of the above

d. None of the above

This is the end of Programed Sequence 1. Now, go to the next page and take the Quiz.

Summary Post-Quiz 1

Acceptance of Authority

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes what is meant by "zone of indifference"?

   a. Subordinates accept directions without question and are relatively indifferent as to what the orders are.

   b. Subordinates differentially resent and resist all authority.

   c. Subordinates' responses to superior's orders are fairly automatic, but subordinates require some explanation before they act upon the orders.

   d. Subordinates sometimes resist authority by carrying out a superior's orders in an indifferent and half-hearted manner.

---

2. Which statement correctly describes a prerequisite for acceptance of authority by subordinates?

   a. Subordinates must like and respect their superior.

   b. Qualities of leadership exhibited by a leader, such as technical competence, must be superior to those of the subordinate.

   c. Subordinates must understand the superior's command and feel that the command is consistent with organization purpose.

   d. A superior's command must reflect an acceptance of responsibility for the order given before the subordinate will comply.

3. A subordinate will accept or reject an exercise of authority only after he has appraised, to the extent possible, the consequences--both positive and negative--attendant upon each of these alternatives.

To which of the following does the statement refer?

a. Robert's rules of acceptance

b. Barnard's zone of indifference

c. Tannenbaum's hypothesis

d. "Social conditioning" theory of authority

---

4. MIDN Martin is a new plebe. Although he is a qualified swimmer, he finds that an additional requirement for every midshipman is a jump from the high diving platform. Martin has always been afraid of heights, nevertheless he jumps.

Which considerations influence his decision?

a. Disadvantages accruing to him from non-acceptance

b. Advantages accruing to him from acceptance

c. Both of the above

d. None of the above

5. Which is a possible disadvantage to a subordinate for non-acceptance of authority?

a. Approval from associates

b. Responding because of qualities of leadership exhibited by superior

c. Avoidance of possible disciplinary action

d. All of the above

e. None of the above

Now, check your answers on page 36.

BLANK

ANSWERS TO SUMMARY POST-QUIZ 1

1. a
2. c
3. c
4. c
5. e

Now, go to Summary 2 on the next page.

Summary 2

Resistance to Authority

A subordinate's reaction to an exercise of authority (an order) may range anywhere from compliance to defiance. His ability to thwart authority varies with the social context. For example, in most military organizations, compliance with orders is more nearly automatic than in business organizations. In the relatively fixed structure of the military organization there is more emphasis on discipline and authority than there would be in a business organization.

A subordinate is said to resist authority when he less than fully complies with an order. Resistance can also occur because a subordinate perceives the actions of the leader as threatening the security and stability of established relationships, or differing from the accustomed ways of doing things. There are many sources of resistance. They include lack of self-confidence on the part of the subordinate, personal hostility toward the leader, and honest differences of opinion between the leader and the subordinate regarding objectives, methods, and values.

Resistance behavior may take several forms.

1. Rejection of the leader (or of the organization)
2. Distortion (the subordinate hears or understands only when he wants to hear or understand)
3. Avoidance (the subordinate deliberately seeks to avoid or ignore information or situations to which he objects)

Resistance to authority in the military may take the form of open defiance or rejection (e.g., direct disobedience of orders), or of covert evasion. Since disobedience of a superior is a disciplinary matter in a military organization, resistance is more likely to take other, more covert forms. Failure to meet schedules, misinterpretation of directives, restrictions in upward communication, and apathy or foot-dragging, are a few typical forms of oblique resistance.

There is no single remedy for combating resistance to authority. A leader can, however, respond to resistance in various ways. He can smooth it out, ignore it, or eliminate it. The leader's primary concern is to select a response which will benefit the organization. Several alternatives are available to him in his attempt to overcome resistance:

1. Resistance can be suppressed. In this case, the leader stamps out resistance by taking harsh, positive measures. He rewards compliance and punishes resistance. When using this approach, the leader must be cautious to determine the source of resistance and to attempt correction. He must constantly avoid aggravating an individual problem to the point where it causes general hostility and the need to administer more serious correction.

2. Resistance can be forced into the open. The leader confronts the subordinate with the problem, discusses it openly with him, and tries to resolve the difficulty. The success of this approach depends on the leader's being unquestionably sure of his facts, and exercising great care and diplomacy.

3. Resistance can be channeled into productive effort. The leader influences the behavior of subordinates by motivating them to help solve problems which are essentially disagreeable to them. Such participation motivates the subordinate because it gives him a chance to contribute ideas and to gain a clearer understanding of problems and a clearer definition of objectives. He is then more likely to be satisfied with the course of action.

Authority, properly exercised, does not provoke resistance. Resistance usually occurs only when authority may destroy initiative and individuality. Conversely, proper application of authority by a good leader tends to support individuality, initiative, and competence. Remember, a subordinate is not required to recognize his senior as a "better man." What he must acknowledge is an official authority relationship between himself and his senior that is established by the hierarchical structure of the military organization.

This is the end of Summary 2. Now, go to the next page and take the Quiz.

Summary Pre-Quiz 2

Resistance to Authority

Answer the following questions as indicated in your Student Guide.

1. After a two-week visit to Australia, a CVA sailed without five non-rated personnel. Time of departure was properly announced well in advance and was presumably known by all hands. SN Blink, a signalman striker, was one of those missing. He was apprehended some four months later and returned to the ship. His defense was that he missed ship's movement because he didn't know when the ship was getting underway.

What form of resistance was SN Blink probably exercising?

a. Rejection

b. Distortion

c. Avoidance

d. All of the above

2. Which describes the actions a leader might employ to reduce resistance?

a. Try to force resistance out into the open by confronting the subordinate with the problem and trying to solve it with him.

b. Suppress resistance by taking harsh, positive measures, such as rewarding compliance and punishing resistance.

c. Both of the above

d. None of the above

---

3. Which statement correctly compares compliance with authority in business organizations to compliance with authority in the military?

a. Responses to direction in business organizations are fairly automatic and generally require no explanations by the manager; whereas, in military organizations, orders are accepted without question.

b. Subordinates in the military are protected by federal statutes which do not apply to business; therefore, compliance in business organizations is more automatic than in the military.

c. In most military organizations, compliance with orders is more nearly automatic than in business organizations.

d. Compliance is related to the leader position in the organizational hierarchy. Since the official structure in business and military organizations is similar, compliance (or non-compliance) is also similar.

4. A Company Commander in a construction battalion on duty in Vietnam has difficulty getting maximum performance from his men. His Battalion Commander, CDR Daniels, knows he is well qualified to do the "book work" phase of construction but thinks he falls short of leadership expectations. CDR Daniels investigates further and finds that certain of the specialty rates (e.g., heavy equipment operators) were filled with men who had worked their trades as civilians and had entered the Navy under advanced pay grade recruiting.

What is the probable cause of the difficulty in the above example?

a. The Company Commander has misused his authority in dealing with his men by failing to respect their individual abilities and has therefore destroyed their initiative.

b. The Company Commander does not like the practical application of civil engineering work.

c. The Company Commander needs more help (long-term Navy POs) to get things done.

d. The Company Commander objects to field work, so he avoids it in preference to administrative duties.

5. CDR Munger has recently assumed command of the USS Wood (DD-715). He has informed his department heads that he will not tolerate substandard performance from any member aboard his ship, and that his objective is a tight, efficient ship. Passing the Captain's remarks to his men, ENS Parker tells them that the old man operates on the principle of cracking down whenever trouble occurs. Captain Munger also informs the crew that any infraction of regulations will be punished promptly at mast or by other disciplinary action. After hearing this, the men begin to lose their previous enthusiasm and start to play it safe. They behave in a defensive manner, doing only enough to get by. The crew members perform below capabilities, show little initiative, and do only what they are ordered to do.

What type of resistance is illustrated by this example?

a. Misinterpretation of directives

b. Apathy or "foot-dragging"

c. Both of the above

d. None of the above

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 2

1. d
2. c
3. c
4. a
5. b

If all your answers are correct, go to Summary 3 on page 75. If you missed one or more questions go to the next page and go through Programed Sequence 2.

Programed Sequence 2

Resistance to Authority

OVERVIEW: Resistance by subordinates to authority is caused by various factors. The ways in which a subordinate resists authority are also varied. In this frame sequence, you will learn the sources and forms of "resistance behavior," and the various approaches a leader may use to reduce resistance to his authority.

---

1 A subordinate's reaction to an exercise of authority may run from compliance to defiance. When less than full compliance is achieved (although the subordinate could comply fully), the subordinate is resisting authority.

Which is an example of resistance?

a. A new boot in the division is told by his section leader that the skyhook on one of the booms is broken and that he should secure a new one to replace it. After unsuccessfully attempting to obtain one, the new boot comes back with the following remark. "The chief told me that I need to know the exact size before he'll let me have one."

b. PVT Jones is the newest member in a recon platoon which has just completed rubber-boat training exercises. He is given the duty of deflating his crew's boat, cleaning it, and stowing it away. He rolls the boat up in the most expeditious manner and crams it into the storage area. When his platoon sergeant asks him why it was not arranged and packed properly, he replies, "The boat was too bulky and difficult for one man to handle."

c. Both of the above

d. None of the above

2 Which statement best describes the occurrence of resistance to authority?

a. When less than full compliance is achieved (when subordinate could fully comply), subordinate is resisting authority.

b. Resistance to authority occurs when subordinates openly defy official orders.

c. Both of the above

d. None of the above

---

3 The amount of authority possessed by an organization depends on the amount of power residing in the official structure. (Recall the relationship between authority and power.) For example, a business firm will generally possess greater authority than an organization of a voluntary nature. From this, what can you infer?

a. That the ability of subordinates to resist authority varies with the social context, e.g., the business environment as opposed to voluntary organizations.

b. That the amount of authority possessed by a voluntary organization determines its organizational hierarchy.

c. Both of the above

d. None of the above

4 Business organizations differ among themselves (as to the amount of power lodged in the official structure (e.g., two individuals in two different organizations may occupy similar managerial positions but they might not have the same amount of authority). The same situation may also be true in the military. However, in military organizations, the official structure is relatively fixed. The authority granted to leaders occupying lower positions in the military structure generally is greater than that authority granted to equivalent business executives. The military subordinate's response to his leader's directives is more positive.

Which is true?

a. Insubordination to superiors is a greater problem in military organizations than in business organizations.

b. Subordinates' responses to direction are more nearly automatic in the military than in business organizations.

c. Both of the above

d. None of the above

---

5 Which statement correctly compares compliance with authority in business organizations with compliance in the military?

a. Business organizations yield greater authority; therefore, orders are rarely challenged, whereas in the military, compliance is more automatic.

b. In most military organizations, compliance is more nearly automatic than in business organizations.

c. Both of the above

d. None of the above

6 Resistance to authority can occur when a leader's actions appear to threaten the security and stability of established relationships and accustomed ways of doing things.

In which example would resistance most probably be encountered?

a. A new department head proceeds to let the men know who's boss. He immediately makes changes, such as shuffling petty officers and men within tasks, and devising new, more detailed programs.

b. A new department head allows time for full communication between himself and his personnel. Thus, they have an opportunity to learn his patterns of behavior and the way of thinking required for them to function under his leadership.

c. Both of the above

d. None of the above

---

7 ENS Grimm receives a rebuke from his senior. The impression made upon the ensign is that because of the "unjustified" rebuke, the senior holds a grudge against him. Thereafter, ENS Grimm accepts his senior's decisions, but does only the minimum work required to implement those decisions.

What source of resistance to authority is indicated?

a. Assignment of unpleasant duties

b. Personal hostility toward the leader

c. Both of the above

d. None of the above

8 Some opposition may be perfectly logical and grounded on good reason.

From this statement, what might be another source of resistance?

a. Honest differences of opinion between leader and subordinate about methods

b. Honest differences of opinion about objectives and values

c. Both of the above

d. None of the above

---

9 Personal hostility toward the leader and honest differences of opinion about objectives, methods, and values are considered which of these?

a. Determinants of acceptance of authority

b. Sources of resistance to authority

c. Both of the above

d. None of the above

10 Resistance behavior may take various forms. For instance, a subordinate may reject the leader or the organization.

Which is an example of rejection?

a. SA Witkowski, on learning that the bos'n has placed him on the side-cleaning detail, tries to find a buddy to take his place. When he has no luck, he goes to the bos'n requesting that he be put on another work detail because he is afraid of heights. The bos'n tells him that each seaman takes his turn at going over the side, and that SA Witkowski is no exception. At this point, Witkowski tells the bos'n that he won't obey the order and that he wants to see the Executive Officer.

b. PVT Chorro is a radio communicator in Headquarters Battalion, 7th Marines. He is told that there is a shortage of communicators in the line companies within the regiment, and that he is being transferred to B Company, 1st Battalion. Chorro doesn't want to go to a line company, and after his request that he be allowed to remain in headquarters battalion is denied, he goes UA.

c. Both of the above

d. None of the above

11 SN Monger finds himself working as a subordinate to BM3 Hilton, whom he dislikes. Hilton has been charged with making sure that the chief's seabag is sent on ahead to the landing, and tells Monger to go see if the chief's seabag is still in his berth since the motor launch would be leaving in six minutes. SN Monger has a cup of coffee, returns shortly, and says, "Yes, the seabag is still there."

What form of resistance is shown in this example?

a. Incompetence (sub-standard performance by subordinate with authority)

b. Distortion (subordinate hears or understands only what he desires to hear) based on personal hostility.

c. Both of the above

d. None of the above

---

12 A third form of resistance behavior is avoidance, in which a subordinate avoids information or situations to which he objects.

Which is an example of avoidance?

a. ENS Rewel objects to administrative work. When given an assignment, he shows little involvement in the task but does what he is ordered to do.

b. ENS Buell dislikes performing administrative duties, and when given an assignment involving paper work, he turns it over to a subordinate leader.

c. Both of the above

d. None of the above

13 Which correctly lists forms of resistance behavior?

a. Avoidance, inefficiency, distortion

b. Rejection, avoidance, distortion

c. Both of the above

d. None of the above

---

14 In military organizations, compliance is which of these?

a. As automatic as in business organizations

b. More nearly automatic than in business organizations

c. Less automatic than in business organizations

---

15 When is resistance to authority said to have occurred?

a. A subordinate could fully comply but hasn't.

b. Less than full compliance is obtained.

c. Both of the above

d. None of the above

16 The Executive Officer of the USS Bass (DD-887) has ordered all division officers to up-date their watch quarter and station bill prior to leaving the ship, in preparation for a forthcoming administrative inspection. LTJG Sleeper does not finish his assignment, and without complying, goes ashore on a date, which is higher on his priority list.

What source of resistance to authority is illustrated by this example?

a. Difference of opinion about values and objectives

b. Difference of opinion about methods

c. Both of the above

d. None of the above

---

17 Match the source and form of resistance listed in the left column with its appropriate description.

a. Sources of resistance

b. Forms of resistance

1) Distortion

2) Personal hostility toward leader

3) Rejection

4) Avoidance

5) Differences of opinion

18 LT Cetto, Chief Engineer on a DD, holds an MS in mechanical engineering. He can explain things well at any level, making the EN understand clearly the importance of a routine engine-room task, or discuss thermodynamic efficiencies of any marine installation with experts. Under LT Cetto's leadership, the ship's maintenance program has shown substantial improvement.

A new Captain reports aboard whose previous destroyer duty, some 10 years earlier, did not involve engineering. The new Captain doesn't understand the detailed aspects of a modern engineering plant. After several lengthy explanations, the Chief Engineer comes to the conclusion that the new Captain is lacking in intelligence and becomes antagonistic towards him. He develops a defensive and distant attitude toward the new Captain and makes every effort to avoid him.

What are the basic reasons (form and source) for the Chief Engineer's resistance?

a. Distortion and honest differences of opinion

b. Rejection and personal hostility

c. Rejection and lack of self-confidence on subordinate's part

d. Distortion and personal hostility

19 In addition to what has been described, resistance in the military can be evidenced by open defiance or rejection.

Which is an example of open defiance and/or rejection?

a. Direct disobedience of orders

b. Censorship in upward communications

c. Both of the above

d. None of the above

---

20 Generally, resistance is obliquely implied. What is done depends on how the subordinate can safely resist authority without exposing himself to reprimand or a possible court-martial.

Which is an example of an oblique expression of resistance?

a. Changing the organizational objectives

b. Failure to meet schedules

c. Both of the above

d. None of the above

21 CAPT Hornblower of the USS Virginia rules with an iron hand. He runs roughshod over his officers and men, convinced that courts-martial, letters of reprimand, and unsatisfactory fitness reports will solve all problems. Consequently, his officers and PO's set up communication blocks within the chain of command where they edit and censor facts, passing on only what they think the CO wants to hear.

Thus, what might you say is another oblique expression of resistance evidenced in the military?

a. Restrictions in upward communications

b. Refusal to accept leader's communications as authoritative directives

c. Both of the above

d. None of the above

---

22 Which correctly describes evidence of resistance in the military?

a. Oblique expression of hostility, such as failure to meet schedules and restrictions in upward communications

b. Open expression of hostility, such as direct disobedience of orders

c. Both of the above

d. None of the above

23 Misinterpretation of directives is also an evidence of resistance in the military.

A division officer publishes a new set of procedures from the department head which he considers unreasonable. The division officer believes that the actions required will result in tension and resentment in the men. He reacts to the directive by intentionally misinterpreting it to retain the loyalty of his division PO's and keep morale high.

Which statement is true of misinterpretation of directives, as an evidence of resistance?

a. Misinterpretation of directives is truly a misunderstanding of directives and is non-intentional.

b. Misinterpretation of directives is always performed for reasons of benefiting the command.

c. Misinterpretation of directives is knowingly and intentionally performed.

d. None of the above

24 Resistance in the military is also evidenced by apathy or foot-dragging, which is characterized by half-hearted performance of tasks.

Which situation exemplifies resistance as evidenced by apathy?

a. Prior to the commencement of the fighter squadron competitive exercises (COMPEX), the Executive Officer explained to all squadron officers and chiefs assembled in the ready room, that each man in the squadron must be made to realize that, regardless of his duty assignment, his best efforts were required during the COMPEX series. The Executive Officer explained that he wanted a spirit of enthusiasm and competitive excellence to permeate the squadron. Participation in prior exercises had shown the men to have minimal interest in the activities, as indicated by their unspirited and nonchalant behavior.

b. The commander of the 14th company, Midshipman Jubb, has called a meeting of the first class in the company. He begins by saying that the company officer has observed a certain laxness on the part of the first class in the company in maintaining a high standard of military bearing and conduct while proceeding to and from parades. Jubb then explains that he really doesn't think it important as the company grade is derived from their performance during the parade only. As a matter of fact, Jubb says he is only mentioning it to keep the company officer off his back.

c. Both of the above

d. None of the above

25 Which correctly lists evidences of resistance in the military?

a. Misinterpretation of directives, restrictions in upward communications, apathy or foot-dragging, open defiance or rejection, failure to meet schedules.

b. Apathy or foot-dragging, failure to meet schedules, honest differences of opinion, expending excessive effort on non-work activities, restrictions in upward communication.

c. Both of the above

d. None of the above

---

26 No single right way exists for combating resistance to authority. One way in which a leader might respond to resistance is to refuse to do anything about it (ignore it). Other general responses would be to smooth it out or stamp it out.

A young division officer has a leading PO who acts like a sea lawyer. He does his job but doesn't go beyond the minimum effort. He always has a good reason why he shouldn't be doing this or that. The division officer, recognizing that his authority is being resisted, has a man-to-man talk with the PO to correct the problem.

What general form of response can be identified by the above example?

a. Ignore it

b. Smooth it out

c. Stamp it out

d. None of the above

27 Read Figure 3 on the next page. Refer to this Figure in answering frames 27 to 36.

The primary concern of the leader is to select a response to resistance which will benefit the organization.

Which correctly lists available alternatives?

a. Force resistance out into the open.

b. Channel resistance into productive effort. Suppress resistance.

c. Both of the above

d. None of the above

---

28 Which statement correctly describes a leader's course of action to avoid resistance?

a. Leader keeps capable subordinates informed, consults with them, and involves them in the decision making process.

b. Leader imposes radical change and indicates by his own behavior that he will not tolerate poor performance.

c. Both of the above

d. None of the above

---

29 Which of these statements describes the suppression of resistance?

a. Leader stamps out resistance by means of harsh, positive measures.

b. Leader rewards compliance and punishes resistance.

c. Both of the above

d. None of the above

1) Resistance can be suppressed. Leader "stamps out" resistance by means of harsh, positive measures. He rewards compliance and punishes resistance. When using this approach, the senior must be cautious to seek the source of resistance and attempt correction in order to avoid aggravating a local problem to general hostility and more serious consequences.

2) Resistance can be forced into the open. The leader's objective in this approach is to confront the subordinate with the problem, discuss it openly, and resolve the difficulty. Care and skill are required for this approach to be successful.

3) Resistance can be channeled into productive effort. Leader influences subordinates' behavior by motivating them to help solve problems which are essentially disagreeable to them. Participation motivates the subordinate because it gives him a chance to contribute ideas, and to gain a clearer understanding of problems, and achieve a clearer definition of objectives. He is then more likely to be satisfied with the course of action agreed upon.

Figure 3. Several Alternatives Available to the Leader for Reducing Resistance

30 Two other alternatives for reducing resistance are (1) forcing resistance into the open and (2) channeling resistance into productive effort.

CAPT Bogo has just assumed a new command. He has definite ideas on how to improve performance, but he has indications from his initial talks with his officers that there is resistance to the "new boy". Understanding why there might be resistance, CAPT Bogo decides on a program of consulting with his department heads. He presents the changes he has in mind and asks for opinions and suggestions for improvement during open meetings in which the department heads cooperate fully.

Which alternative can be identified by the above example?

a. Resistance can be avoided.

b. Resistance can be channeled into productive effort.

c. Resistance can be forced into the open.

d. None of the above

31 Which correctly describes the motivational effects of channeling resistance into productive effort?

a. Involvement in controversial issues encourages worthwhile suggestions and development of new procedures. The senior, by divesting himself of responsibility, causes subordinates to gain a sense of personal achievement and worth, since they make all the decisions.

b. Participation in decision making is motivational for the subordinate because it provides him with a chance to contribute ideas, get a clearer understanding of problems, obtain a clearer definition of objectives, and secure a feeling of satisfaction with the course of action agreed upon.

c. Both of the above

d. None of the above

32 Choose the grouping below which correctly matches the alternative for reducing resistance with the appropriate action(s).

a. Resistance can be suppressed.

b. Resistance can be forced into the open.

c. Resistance can be channeled into productive effort.

1) Confront subordinate with the problem, discuss it, and resolve the difficulty.

2) Constantly check up on subordinates to obtain high standards of performance.

3) Stamp out resistance by harsh, positive measures.

4) Influence subordinate's behavior by engaging subordinate in greater participation in problem solving.

a. a-4, b-1, c-3

b. a-3, b-2, c-1

c. a-3, b-4, c-4

d. a-2, b-1, c-3

---

33 What can a leader do when he encounters resistance to authority?

a. Smooth it out.

b. Stamp it out.

c. Both of the above

d. None of the above

34 LTJG Beal is a division officer aboard the USS St. Paul. He has detailed a crew to clean up and paint turret No. 1 in preparation for the Captain's inspection on Friday morning. The gun boss later observes the men goofing off and not getting the work done.

Which response should the gun boss employ?

a. Order the men to turn to and stop wasting time

b. Ignore the matter

c. Put the men on report for shirking duty

d. None of the above

---

35 A young division officer has a leading PO who seems to be slacking off. He does his job but doesn't really go beyond the minimum effort. He always has a good reason why he shouldn't be doing something and tends to create problems for his division officer. At liberty call, he always seems to be off and running, sometimes not having completed all his work.

What is the best alternative available to the division officer?

a. Get rid of the problem by transferring the man

b. Ignore the matter

c. Force the resistance into the open by a man-to-man talk

d. Stamp out the resistance by punishing the man

36 Resistance occurs when authority is misused. Authority, properly applied, need not encounter resistance.

Which midshipmen leader will probably meet the most resistance?

a. The company commander who constantly uses the threat of putting men on report if they don't get things done

b. The company commander who does not hesitate to put men on report when their actions warrant it

c. Both of the above

d. None of the above

---

37 Misuse of authority may also cause destruction of initiative and individuality, whereas proper use of authority tends to support it.

Which would probably lead to destruction of initiative and individuality?

a. An officer receives a bad fitness report and decides he can't count on his subordinates; therefore, he attempts to do everything himself.

b. An officer utilizes his subordinates to the maximum by training them to handle authority and delegates all the authority to them that he can.

c. Both of the above

d. None of the above

38 MIDN Best, a company commander at the Naval Academy, has authority over all the midshipmen in his company, including some midshipmen who are in his own class, some who are older than he is, and some who are senior to him in class standing. Nevertheless, everyone in Best's company willingly accepts his authority.

From the above, what can you infer about the men's subordination to authority?

a. The subordinates reject leader's individuality and become completely submissive to their senior's authority.

b. The subordinates do not recognize their senior as a better man, but maintain an official authority relationship between themselves and their senior.

c. Both of the above

d. None of the above

---

39 Which may cause destruction of subordinate initiative and individuality?

a. The individual's subordination to authority

b. The misuse of authority by persons in positions of authority

c. Both of the above

d. None of the above

40 When authority is properly used, what will it tend to do?

a. Increase subordinate's dependence on the leader.

b. Support individuality, initiative and competence.

c. Both of the above

d. None of the above

---

41 Which does proper subordination to authority require?

a. The subordinate must recognize only an official relationship between himself and his senior.

b. The subordinate must recognize his senior as a better man.

c. Both of the above

d. None of the above

This is the end of Programed Sequence 2. Now, go to the next page and take the Quiz.

Summary Post-Quiz 2

Resistance to Authority

Answer the following questions as indicated in your Student Guide.

---

1. After a two-week visit to Australia, a CVA sailed without five nonrated personnel. Time of departure was properly announced well in advance and was presumably known by all hands. SN Blink, a signalman striker, was one of those missing. He was apprehended some four months later and returned to the ship. His defense was that he missed ship's movement because he didn't know when the ship was getting underway.

What form of resistance was SN Blink probably exercising?

a. Distortion

b. Avoidance

c. Rejection

d. All of the above

2. Which statement correctly compares compliance with authority in business organizations to compliance with authority in the military?

a. Subordinates in the military are protected by federal statutes which do not apply to business; therefore, compliance in business organizations is more automatic than in the military.

b. In most military organizations, compliance with orders is more nearly automatic than in business organizations.

c. Responses to direction in business organizations are fairly automatic and generally require no explanations by the manager; whereas, in military organizations, orders are accepted without question.

d. Compliance is related to the leader position in the organizational hierarchy. Since the official structure in business and military organizations is similar, compliance (or non-compliance) is also similar.

---

3. Which describes the actions a leader might employ to reduce resistance?

a. Try to force resistance out into the open by confronting the subordinate with the problem and trying to solve it with him

b. Suppress resistance by taking harsh, positive measures, such as rewarding compliance and punishing resistance

c. Both of the above

d. None of the above

4. A Company Commander in a construction battalion on duty in Vietnam has difficulty getting maximum performance from his men. His Battalion Commander, CDR Daniels, knows he is well qualified to do the "book work" phase of construction but thinks he falls short of leadership expectations. CDR Daniels investigates further and finds that certain of the specialty rates (e.g., heavy equipment operators) were filled with men who had worked their trades as civilians and had entered the Navy under advanced pay grade recruiting.

What is the probable cause of difficulty in the above case?

a. The Company Commander does not like the practical application of civil engineering work.

b. The Company Commander needs more help (long term Navy PO's) to get things done.

c. The Company Commander objects to field work, so he avoids it in preference to administrative duties.

d. The Company Commander has misused his authority in dealing with his men by failing to respect their individual abilities and has therefore destroyed their initiative.

5. CDR Munger has recently assumed command of the USS Wood (DD-715). He has informed his department heads that he will not tolerate substandard performance from any member of his ship's company, and that his objective is a tight, efficient ship. Passing on the Captain's remarks to his men, ENS Parker tells them that the old man operates on the principle of cracking down whenever trouble occurs. CDR Munger further informs the crew that any infraction of regulations will be punished promptly at mast or by other disciplinary action. After hearing this, the men begin to lose their previous enthusiasm and start to play it safe. They behave in a defensive manner doing only enough to get by. The crew performs below capabilities, shows little initiative, and does only what they are ordered to do.

What type of resistance is illustrated by this example?

a. Misinterpretation of directives

b. Apathy or "foot-dragging"

c. Both of the above

d. None of the above

Now, check your answers on page 74.

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ANSWERS TO SUMMARY POST-QUIZ 2

1. d
2. b
3. c
4. d
5. b

Now, go to Summary 3 on the next page.

Summary 3

Improper Use of Authority and Its Consequences

You recall that resistance to authority usually occurs only when authority is misused. We shall discuss four ways in which authority may be misused.

1) Over-reliance on suggestion and persuasion
The leader makes sincere but inappropriate attempts to control his subordinates using only suggestion and persuasion, even though he has the authority to use effective control measures. If the leader relies too much on such means of influencing subordinate behavior as advising, making suggestions, and entering into discussions, it is likely that his unit will get so far out of control that extreme measures will be necessary to regain control.

2) Over-reliance on professional competence
The leader prefers to run a "one-man show." This approach usurps the responsibilities of the subordinates and is excessive centralization of authority. The leader relies too heavily on his professional competence and ability to control. The result is resentment among subordinates and reduction or destruction of their effectiveness. The proper use of knowledge and skill by a leader is called for, but the situation becomes unhealthy when a leader feels compelled to continually display his competence.

3) Reliance on nominal authority and failure to act from other bases of influence. The leader assumes that all his authority comes from his position and fails to recognize and act from his other bases of influence. "Position" authority used alone does not ordinarily obtain the best performance from subordinates. The overt use of authority is entirely appropriate under certain circumstances, but consistent reliance on position authority alone results in less than wholehearted and willing support from subordinates. It also elicits minimal performance effectiveness, causes increased resentment, and reduced initiative.

4) Arrogance toward, or disregard of, subordinates When a leader has a position of power, he may exhibit traits or behavior which appear to the subordinate to be arbitrary or unusual. This may occur because the leader is concerned only with pleasing his superiors, and not with showing consideration for his subordinates. Arbitrary, demanding treatment of subordinates will reduce not only their morale and loyalty, but their performance effectiveness as well.

This is the end of Summary 3. Now, go to the next page and take the Quiz.

Summary Pre-Quiz 3

Improper Use of Authority and Its Consequences

Answer the following questions as indicated in your Student Guide.

---

1. LTJG Piper is sure of himself in the technical matters of the BM rating. He constantly brings his knowledge and skills into his leadership pattern as a division officer instead of delegating authority to his subordinates.

Which statement best describes the consequences of this type of leadership?

a. The division officer will have to use persuasion to get the men to perform more effectively.

b. Subordinates will resent reduction of their responsibilities due to an excessive centralization of authority.

c. Morale of the unit will increase since the leader gets right in and does things along with his subordinates.

d. The use of knowledge and skill by the leader will result in apathy and foot-dragging.

2. ENS Shiner is the First Division Officer on the USS Bainbridge (DLGN-25). In directing his men, he uses his position and its nominal authority as his single enforcing tool. ENS Shiner is strictly mission-oriented, and keeps his spaces in excellent condition; however, he has little regard for the morale of his men.

Which statement best describes a probable consequence of the above behavior?

a. The men will eventually disobey ENS Shiner even though he constantly threatens to put them on report.

b. The men will perform their assigned tasks, but will display little initiative due to ENS Shiner's methods.

c. The leading petty officers will pass all behavior problems on to him.

d. All of the above

---

3. Which correctly describes the consequences resulting from over-reliance on suggestion and persuasion (influence)?

a. Possibility of unit getting so far out of control that extreme measures will be required to bring it back into line

b. Resentment among subordinates and reduction or destruction of their performance effectiveness

c. Influencing subordinate behavior by suggestion and persuasion becoming the only task of the leader

d. Disapproval by leader's superiors and possibility of a bad fitness report

4. Usurpation of the responsibilities of subordinates by the excessive centralization of authority describes which of these?

a. Over-reliance on suggestion and persuasion

b. Belief in authority of position to exclusion of other bases of influence

c. Over-reliance on professional competence to control

d. Arrogance toward or disregard of subordinates

---

5. Which example correctly describes "arrogance toward or disregard of subordinates"?

a. The officer who is hesitant to rely on his subordinates and does everything himself

b. The officer who relies on his rank in order to get his orders carried out

c. Both of the above

d. None of the above

Now, check your answer on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 3

1. b
2. b
3. a
4. c
5. d

If all your answers are correct, go to Summary 4 on page 95.
If you missed one or more questions go to the next page and go through Programed Sequence 3.

Programed Sequence 3

Improper Use of Authority and Its Consequences

OVERVIEW: Resistance to authority usually occurs when authority has been misused. In this series of frames, you will learn about the improper use of authority and its consequences. Figure 4 on the next page describes the four general improper uses of authority and will help you answer frames 1 through 12.

---

1 Which statement describes over-reliance on position authority?

a. A company commander's over-reliance on his own competence to control results in excessive centralization of authority.

b. A company commander assumes that all of his authority comes from his position and fails to recognize and act from other bases of influence.

c. Both of the above

d. None of the above

TYPES	DESCRIPTION	CONSEQUENCES
Over-reliance on suggestion and persuasion	Sincere but inappropriate attempts by leader to control subordinates entirely by suggestion and persuasion, despite having authority to use effective control measures.	Unit may get so far out of control that extreme measures will be required to get it back in line.
Over-reliance on professional competence to control	Leader becomes one-man show. This approach is excessive centralization of authority and results in the usurpation of subordinates' responsibilities.	Leader's excessive display of professional competence causes resentment among subordinates and reduction or destruction of their effectiveness.
Over-reliance on "position" authority	Leader assumes that all of his authority comes from his nominal authority and fails to recognize and use his other bases of influence.	Position authority used alone does not ordinarily obtain the best performance from subordinates. Consistent reliance on authority alone results in less than whole-hearted and willing support of subordinates, minimal performance effectiveness, increased resentment, and reduced initiative.
Arrogance toward or disregard for subordinates	Leader overlooks proper consideration of subordinates. (Arrogant behavior may be contrary to leader's customary behavior because of concern with his follower role of pleasing his superior.)	Arbitrary, demanding treatment of subordinates will result in lowered morale and diminished loyalty of subordinates and reduced performance effectiveness.

Figure 4

2 ENS Stagg is a university graduate in electronic engineering. He is expert in the technical matters of the electronics rating and always seems to have a better way of doing a job. He constantly interrupts his subordinates while they are repairing equipment and corrects them, indicating to them that there are better procedures which he usually demonstrates. The men, under these circumstances, are resentful.

What type of misuse of authority is described in this situation?

a. Over-reliance on "position" authority

b. Over-reliance on professional competence to control

c. Both of the above

d. None of the above

3 Which is an example of over-reliance on "position" authority?

a. The officer who falls back on his rank to get things done

b. The officer who takes the position that the mission comes before his men

c. Both of the above

d. None of the above

4 The Commanding Officer of an AOE is reluctant to let a junior officer take the conn during any maneuver. He is a very capable shiphandler, but does not feel it necessary to train junior officers for such tasks. This "I've got to do it myself or it won't get done right" attitude causes resentment among subordinates. Because the Captain assumes total responsibility, the efforts of the subordinates to gain ship-handling experience, and a resulting sense of personal achievement, are frustrated.

What accurately accounts for these adverse consequences?

a. The Captain's arrogance or disregard for subordinates

b. The Captain's over-reliance on his professional competence to control

c. Both of the above

d. None of the above

---

5 Which statement correctly describes the consequences resulting from over-reliance on professional competence to control?

a. Excessive display of professional competence causes resentment among subordinates and reduction or destruction of effectiveness.

b. Over-reliance on professional competence by superior challenges subordinates to review the limitations they place on themselves and forces them to utilize their initiative.

c. Both of the above

d. None of the above

6 During a large-scale PHIBEX (amphibious exercise), the PHIBGRU staff watch officer on the flagship (an LCC) complains to the ship's signal officer that the coffee on the signal bridge is stale. The Signal Officer, ENS Bean, is somewhat awestruck by staff officers so he turns to the chief, an E-7 with 18 years service, and tells him to make the coffee for the watch-standers. When the chief tells a subordinate to carry out the order, ENS Bean interjects with, "If I wanted someone else to make the coffee, I would have told him myself." The chief is naturally resentful and carries out the order in a half-hearted manner.

The ensign's failure to recognize and use his other bases of influence is due to which of the following?

a. Over-reliance on professional competence to control

b. Over-reliance on "position" authority

c. Both of the above

d. None of the above

---

7 Which statement correctly describes the consequences resulting from over-reliance on position authority and failure to use other bases of influence?

a. Position or nominal authority does not ordinarily obtain the best performance and willing support of subordinates.

b. Consistent reliance on position authority alone results in less than whole-hearted and willing support of subordinates.

c. Both of the above

d. None of the above

8 ENS Donaldson is genuinely interested in his men. He is seldom harsh or severe, since he lacks the heart to recommend disciplinary action. His technique of leadership is to rely mainly on such means as offering advice, making suggestions, and entering into discussion in order to influence his men's behavior.

What type of misuse of authority is described here?

a. Over-reliance on suggestion and persuasion

b. Over-reliance on less than whole-hearted nominal authority

c. Both of the above

d. None of the above

---

9 The stewards have developed a serious dislike for their division officer. He is overbearing and orders them about with very little consideration for their feelings. The men believe that his actions are geared to selling himself to his superiors, so their reaction is to avoid him, take it easy, and hope for his early relief.

What type of misuse of authority is described above?

a. Over-reliance on position authority

b. Arrogance toward or disregard of subordinates

c. Both of the above

d. None of the above

10 LTJG Brewer has just been assigned to take charge of a working party of enlisted men, all of whom have had more seagoing experience than he. Brewer feels he will have difficulty exercising authority over these men, so he makes a special attempt to be friendly with them off duty and takes every opportunity to ask questions about the work they do and to point out that he has a lot to learn.

LTJG Brewer's behavior may lead to the lack of authority caused by which of the following?

a. Sincere but inappropriate attempts to control subordinates by persuasion or suggestion

b. Arbitrary, demanding treatment of subordinates

c. Both of the above

d. None of the above

---

11 Lowered morale and diminished loyalty of subordinates and reduced performance effectiveness is a consequence of which?

a. Consistent reliance on authority alone

b. Arrogance toward or disregard of subordinates

c. Both of the above

d. None of the above

12 LT Falstaff and LT Borden are both division officers with precisely the same amount of formal position authority. LT Borden is considered a good officer by his men, but LT Falstaff has obtained exceptional respect and success with his group. LT Falstaff is known to participate in many activities--an athletic team, the PTA, and hospital recreation fund drives. LT Borden, on the other hand, devotes all of his time to his job and his family. He does not understand that important bases of influence can stem from sources other than position power.

Which statement best describes the probable consequences of LT Falstaff's position?

a. Since most sailors prefer to go by the book, they would prefer to work under a leader such as LT Borden.

b. If the only influence an officer can exert is that which he has from his position authority, his support will be minimal.

c. Both of the above

d. None of the above

---

13 Which statement correctly describes the consequences resulting from over-reliance on suggestion and persuasion?

a. The unit may get so far out of control that extreme measures will be required to get it back in line.

b. Excessive consideration for subordinates causes resentment and reduction or destruction of their effectiveness.

c. Both of the above

d. None of the above

14 The Executive Officer of the USS Bole (DD-755) has promised the crew a liberal liberty policy if they score well on the forthcoming Operational Readiness Inspection (ORI). The crew works hard, and as a result, the ship receives a grade of excellent or above in all departments. Shortly after the ORI, there is a scheduled change of command. The Executive Officer, wishing to make the impression on the new Captain that he is not soft with the crew, ignores his promise to the crew, and liberty policy remains as before. The ship's planned operating schedule does not change.

Which statement best describes the probable reason for the Executive Officer's decision?

a. Since he has put the ship in a high state of readiness, he feels the only way to maintain that state is for the crew to work long hours.

b. He really expected a grade of outstanding in all departments.

c. He was using the crew for his own personal gain, showing arrogance toward or disregard of subordinates.

d. Such promises to a crew are not regulation. Only the Captain has that kind of authority and responsibility.

---

15 Which correctly describes the probable result of a leader's arrogance toward, or disregard of, hi subordinates?

a. Reduced performance effectiveness

b. Lowered morale and diminished loyalty of subordinates

c. Both of the above

d. None of the above

16 ENS Kamerman is promoted to LTJG, and made Third Division Officer aboard a CVA. ENS Bancroft, a recent USNA graduate, is assigned to LTJG Kamerman as a junior division officer. LTJG Kamerman seems to get particular pleasure in pulling rank on ENS Bancroft who is the first JO assigned to Kamerman's division.

Select the statement which best describes the possible consequences of LTJG Kamerman's behavior.

a. LTJG Kamerman will probably cause resentment among the informal group of officers that ENS Bancroft belongs to.

b. ENS Bancroft's morale will go down and his performance effectiveness will be reduced.

c. ENS Bancroft will show disrespect and be insubordinate to LTJG Kamerman.

d. ENS Bancroft will begin to fail to meet schedules and show apathy.

This is the end of Programed Sequence 3. Now, go to the next page and take the Quiz.

Summary Post-Quiz 3

Improper Use of Authority and Its Consequences

Answer the following questions as indicated in your Student Guide.

---

1. Which example correctly describes "arrogance toward or disregard of subordinates"?

   a. The officer who is hesitant to rely on his subordinates and does everything himself

   b. The officer who relies on his rank in order to get his orders carried out

   c. Both of the above

   d. None of the above

---

2. LTJG Piper is sure of himself in the technical matters of the BM rating. He constantly brings his knowledge and skills into his leadership pattern as a division officer instead of delegating authority to his subordinates.

   Which statement best describes the consequences of this type of leadership?

   a. The division officer will have to use persuasion to get the men to perform more effectively.

   b. The use of knowledge and skill by the leader will result in apathy and foot-dragging.

   c. Morale of the unit will increase since the leader gets right in and does things along with his subordinates.

   d. Subordinates will resent reduction of their responsibilities due to an excessive centralization of authority.

3. ENS Shiner is the First Division Officer on the USS Bainbridge (DLGN-25). In directing his men, he uses his position and its nominal authority as his single enforcing tool. ENS Shiner is strictly mission-oriented, and keeps his spaces in excellent condition; however, he has little regard for the morale of his men.

Which statement best describes a probable consequence of the above behavior?

a. The men will perform their assigned tasks, but will display little initiative due to ENS Shiner's methods.

b. The men will eventually directly disobey ENS Shiner even though he constantly threatens to put them on report.

c. The leading petty officers will pass all behavior problems on to him.

d. All of the above

---

4. Usurpation of the responsibilities of subordinates by the excessive centralization of authority describes which?

a. Over-reliance on suggestion and persuasion

b. Belief in authority of position to exclusion of other bases of influence

c. Over-reliance on professional competence to control

d. Arrogance with or disregard for subordinates

5. Which correctly describes the consequences resulting from over-reliance on suggestion and persuasion (influence)?

a. Influencing subordinate behavior by suggestion and persuasion becomes the only task of the leader.

b. Resentment among subordinates and reduction or destruction of their performance effectiveness

c. Possibility of unit getting so far out of control that extreme measures will be required to bring it back into line

d. Disapproval by leader's superiors and possibility of a bad fitness report

---

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 3

1. d
2. d
3. a
4. c
5. c

Now, go to Summary 4 on the next page.

Summary 4

Principles of Substitutional Authority and Essential Authority

In order to properly apply his authority, a leader must assess the situation. This should prevent him from falling into the difficulties outlined in the previous section. Two principles are available to the leader as a guide in applying his authority.

1. Substitutional Authority. This concept maintains that the leader's authority is necessary because of weaknesses or deficiencies in subordinates. Substitutional authority tends to be self-destructive--understandably so, since subordinates, as they overcome weaknesses and deficiencies, will need the leader's authority less and less.

2. Essential Authority. This concept maintains that a leader's authority is essential in most organizational situations, since there are usually several possible ways to accomplish tasks and objectives, and efficiency demands an effective decision in the interests of the entire organization. Such authority is essential even when dealing with knowledgeable subordinates.

A good leader must be aware of the principles of substitutional and essential authority, and be able to realize when the situation calls for one or the other. To exercise more authority than is required by judicious application of the principles of essential and substitutional authority is to infringe upon the subordinate's freedom of choice. Effective leadership requires the use of full authority necessary according to the principles you have just learned.

This is the end of Summary 4. Now, go to the next page and take the Quiz.

Summary Pre-Quiz 4

Principles of Substitutional Authority and Essential Authority

Answer the following questions as indicated in your Student Guide.

---

1. LTJG Morse is the OR Division Officer on the USS Mt. McKinley (LCC 7). He has been given the requirement to provide three petty officers for shore patrol duty during the next month. The division is organized into four groups: radio central, transmitter room, crypto, and the message center. LTJG Morse calls a meeting of all senior petty officers to determine which men will be assigned. The PO in charge of each group makes a valid plea to be the one excused. The division chief looks to LTJG Morse for a decision.

Which principle would probably govern LTJG Morse in applying his authority?

a. Substitutional authority

b. Essential authority

c. Both of the above

d. None of the above

2. Which is true of substitutional authority?

   a. Authority is necessary on the part of the leader because the subordinates may be deficient in skills to accomplish a task.

   b. Continuous use of substitutional authority is necessary because subordinates generally tend to get lazy and lose interest in their work.

   c. Both of the above

   d. None of the above

---

3. Which statement correctly describes essential authority?

   a. Essential authority is necessary since subordinates will perform below capabilities without it; however, essential authority tends to be self-destructive since subordinates should soon begin to perform above standard.

   b. Essential authority is necessary in order for directives to carry the same meaning as verbal orders.

   c. The authority of a leader is essential in most organizational situations because there are usually several possible ways to accomplish tasks and objectives; and efficiency demands an effective decision to apply for the entire organization.

   d. Essential authority is the basic skill necessary for the leader to get his subordinates to work together.

4. Which is an example of substitutional authority?

   a. A junior officer puts on dungarees and personally assists one of his qualified chief machinist's mates in removing a wiped bearing.

   b. A junior officer stops a subordinate who is lowering a boat incorrectly and explains to him the proper procedure for carrying out the task.

   c. Both of the above

   d. None of the above

---

5. Which statement best describes why a leader should not use more authority than required when applying the principles of substitutional and/or essential authority?

   a. The application of too much of one or the other kind of authority usually results in another senior's taking over.

   b. Subordinates will work best if they have freedom of choice in certain areas. No leader should arbitrarily infringe upon such freedoms.

   c. The determination of what constitutes judicious use of substitutional and/or essential authority is difficult, so the wise leader should always use less authority rather than more authority.

   d. After a leader expends more than the proper amount of authority, he becomes unnecessary to the job. This is Parkinson's law of the authority-expenditure relationship.

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 4

1. b
2. a
3. c
4. b
5. b

If you missed one or more questions, go to the next page and go through Programed Sequence 4.

Programed Sequence 4

Principles of Substitutional Authority and Essential Authority

OVERVIEW: You will recall from the previous section that misuse of authority can lead to serious difficulties. The proper application of a leader's authority must be determined by an assessment of the situation. Two principles are available to guide the leader in applying his authority--substitutional authority and essential authority. In this frame sequence, you will learn about these two concepts.

1 LTJG Dark, CIC officer on the USS Eldorado (LCC-11), is faced with the following situation. The ship is preparing for its underway refresher training after a brief yard period. Dark's division chief, RDC White, was granted emergency leave and his only RD1 was involved in an auto accident and admitted to Balboa Naval Hospital. The next senior petty officer, RD2 Glymph, although a competent technician, is not a good organizer. The division is far behind schedule in setting up communication circuits, familiarizing themselves with orders, task organization, call signs, etc. LTJG Dark handles the situation by personally reorganizing the division, giving his best junior petty officers the opportunity to perform the tasks on their own initiative.

From this example what might you infer that the principle of substitutional authority states of a leader's authority?

a. His authority gets substituted according to his assessment of the situation.

b. His authority is necessary because subordinates may be deficient in skills necessary to accomplish tasks.

c. Both of the above

d. None of the above

2 The men in the 2nd Division ran to their stations on hearing the words, "Man overboard" passed throughout the ship. Arriving at the motor whaleboat, they realized the need for haste if the man was to be recovered. As the ship turned and slowed, ENS Oakes, the division JO, took charge of lowering the whaleboat. He carefully checked the boat crew for life jackets, but he failed to notice the bow was being lowered faster than the stern. LT Swift, the division officer, saw this serious development as soon as he arrived on the scene and ordered a halt in lowering the boat. Turning to ENS Oakes, he called the discrepancy to his attention, told him to correct it, and then to continue lowering the boat. In the subsequent exercises and drills, ENS Oakes took particular care to see that the boat was lowered properly.

Which is true of substitutional authority?

a. Substitutional authority undermines a subordinate's acceptance of responsibility.

b. A subordinate's need for substitutional authority decreases as he overcomes his weaknesses or deficiencies.

c. Both of the above

d. None of the above

---

3 Which is an example of substitutional authority?

a. A junior officer, who sees a man performing a task unsatisfactorily, either proceeds to do the job himself or explains the correct way in which the job should be done.

b. A junior officer, who refuses to use his petty officer in running his division, attempts to do everything himself.

c. Both of the above

d. None of the above

4 Which correctly defines the concept of substitutional authority?

a. A leader's authority on a substitutional basis is necessary because junior officers have to do many different tasks.

b. A leader's authority is necessary because of weaknesses or deficiencies in subordinates.

c. Both of the above

d. None of the above

---

5 Working parties have been a problem aboard the USS Mars. A committee composed of three different division officers, all of the same rank, has been appointed by the Executive Officer to study ways in which the situation can be improved. In tackling the problem, each officer sees the problem from a different point of view; thus, the committee members go in different directions in search of a solution. They frequently disagree and are impatient with each other. Each wants the others to go along with his plan; and since there is no common understanding, no full agreement is reached. In order to solve the original problem, the Executive Officer reviews the alternative plans and selects the one which appears to him to be the most workable.

Which is true of essential authority?

a. Essential authority is necessary even among knowledgeable subordinates.

b. A leader's authority is essential because in most organizational situations, there are several possible ways to accomplish tasks and efficiency demands an effective decision to apply for the entire organization.

c. Both of the above

d. None of the above

6 Which correctly defines the concept of essential authority?

a. The authority of a leader is essential in some organizational situations, when the difficulty of the task is beyond the scope of subordinate capabilities, and a decision which can be applied to the entire organization is necessary.

b. A leader's authority is essential in most organizational situations, since there are usually several possible ways to accomplish tasks and objectives, and efficiency demands an effective decision to apply for the entire organization.

c. Both of the above

d. None of the above

7. The use of more authority than required by judicious application of the principles of substitutional and essential authority is an unjustified infringement upon a subordinate's freedom of choice.

A DD is steaming independently when a contact is detected on radar beyond visual range. The Captain, who is on the bridge, acknowledges this information from the JOOW who has the conn. When the contact, still on the same course, closes to 10,000 yards, it is identified as a Panamanian tanker. Noting that the tanker's bearing isn't changing, the Captain listens carefully to the dialogue between the OOD and the JOOW who are discussing the tanker's intentions. When the range has closed to 7,000 yards and the bearing remains constant, the Captain realizes that both the JOOW and the OOD are indecisive in their actions.

Which response would be an unjustified infringement upon a subordinate's freedom of choice?

a. The Captain announces that he has assumed the conn and changes course to ensure that both ships will clear each other.

b. The Captain asks the JOOW what he intends to do. When the JOOW tells him that the tanker is the burdened vessel and that he intends to maintain present course and speed, the Captain gruffly orders him to change course.

c. Both of the above

d. None of the above

8 Which statement correctly describes why a leader should not usually be required to apply the principle of substitutional authority over a prolonged period of time?

a. After a certain amount of time on any task where substitutional authority is exercised, fatigue sets in.

b. Subordinates should overcome weaknesses and deficiencies and decrease the need for a leader's authority.

c. Both of the above

d. None of the above

---

9 The correct application of his authority by a leader is determined by an assessment of the situation. If, after assessing the situation, the leader decides to follow the principle of substitutional or essential authority, which must he do?

a. Use the full authority necessary according to the proper principle.

b. Not use more authority than required by judicious application of the proper principle

c. Both of the above

d. None of the above

10 As Commanding Officer of a destroyer, you are pleased to have on board for a summer cruise four USNA midshipmen. You recognize that these midshipmen have had good underway training aboard YP's as part of their professional training, but you don't consider them qualified to handle your ship in precise seamanship evolutions. So far, you have assigned them to JOOW-UI (under instruction) roles, but you sense that they're eager to take the conn, and decide to gradually let them perform more challenging shiphandling roles. You observe them closely in rubber-docking drills at sea until you are convinced that they will react with decisiveness under restricted conditions.

Select the factors in this situation which would guide you, as CO of a destroyer, to a determination of the proper application of substitutional authority.

a. You know that it takes a long time to gain confidence as a shiphandler, and that substituting one summer cruise for YP training is not going to make a competent shiphandler out of a midshipman.

b. You know that in spite of turning over the conn to the midshipmen, the essential authority and responsibility for the ship rests with you.

c. You know that as the midshipmen acquire more proficiency in handling the ship, you will not need to exercise substitutional authority to the same degree.

d. You know that the midshipmen will get a morale boost if they are given the essential authority to handle the ship.

11 CDR Hannigan is the Weapons Officer aboard the USS Boxer (LPH-5). The ship was originally designed as an aircraft carrier, and her internal magazine arrangement and bomb elevators, although capable of moving the various bombs, rockets, projectiles, and other ammunition for use in deployed aircraft squadrons, are not designed to load, stow, or move the different types of ammunition needed by the landing forces. Modern LPH's (built from the keel up) do not have this problem. CDR Hannigan has an experienced crew of elevator operators and considerable organizational ability to get the right number of men and equipment to the right spot at the right time. Though he has implicit confidence in his men and works well with the ship's combat cargo officer, he still develops a comprehensive ammunition loading plan.

Select from the following choices those factors which guide CDR Hannigan to a determination of the proper application of essential authority.

a. CDR Hannigan has total responsibility; therefore, he must retain authority or he'll impair his image with subordinates.

b. CDR Hannigan knows that it takes planning, organizing, directing, controlling, and coordinating to load ammunition properly, so he feels decisions are essential in this onload of combat cargo ammunition.

c. CDR Hannigan, as an experienced weapons officer, knows that strict adherence to safety regulations is a must while handling ammunition, so he exercises his position authority.

d. CDR Hannigan is not quite sure that the large number of people involved know the job well enough, so he decides to exercise substitutional authority just in case.

Now, go to the next page and take the Quiz.

Summary Post-Quiz 4

Principles of Substitutional Authority
and Essential Authority

Answer the following questions as indicated in your Student Guide.

---

1. LTJG Morse is the OR Division Officer on the USS Mt. McKinley (LCC-7). He has been given the requirement to provide three petty officers for shore patrol duty during the next month. The division is organized into four groups: radio central, transmitter room, crypto, and the message center. LTJG Morse calls a meeting of all senior petty officers to determine which men will be assigned. The PO in charge of each group makes a valid plea to be the one excused. The division chief looks to LTJG Morse for a decision.

Which principle would probably govern LTJG Morse in applying his authority?

a. Essential authority
b. Substitutional authority
c. Both of the above
d. None of the above

2. Which is true of substitutional authority?

   a. Continuous use of substitutional authority is necessary because subordinates generally tend to get lazy and lose interest in their work.

   b. Authority is necessary on the part of the leader because the subordinates may be deficient in skills to accomplish a task.

   c. Both of the above

   d. None of the above

---

3. Which statement best describes why a leader should not use more authority than required when applying the principles of substitutional and/or essential authority?

   a. The application of too much of one or the other kind of authority usually results in another senior's taking over.

   b. The determination of what constitutes judicious use of substitutional and/or essential authority is difficult, so the wise leader should always use less authority rather than more authority.

   c. After a leader expends more than the proper amount of authority, he becomes unnecessary to the job. This is Parkinson's law of the authority-expenditure relationship.

   d. Subordinates will work best if they have freedom of choice in certain areas. No leader should arbitrarily infringe upon such freedoms.

4. Which is an example of substitutional authority?

   a. A junior officer puts on dungarees and personally assists one of his qualified chief machinist mates in removing a wiped bearing.

   b. A junior officer stops a subordinate who is lowering a boat incorrectly and explains to him the proper procedure for carrying out the task.

   c. Both of the above

   d. None of the above

---

5. Which statement correctly describes essential authority?

   a. Essential authority is necessary since subordinates will perform below capabilities without it; however, essential authority tends to be self-destructive since subordinates should soon begin to perform above standard.

   b. Essential authority is necessary in order for directives to carry the same meaning as verbal orders.

   c. Essential authority is the basic skill necessary for the leader to get his subordinates to work together.

   d. The authority of a leader is essential in most organizational situations because there are usually several possible ways to accomplish tasks and objectives; and efficiency demands an effective decision to apply for the entire organization.

Now, check your answers on page 114.

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ANSWERS TO SUMMARY POST-QUIZ 4

1. a
2. b
3. d
4. b
5. d

This is the end of Part Six, Segment II.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment II

Why People Accept/Resist Authority

Progress Check

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

WHY PEOPLE ACCEPT/RESIST AUTHORITY

PROGRESS CHECK

Question 1.

During a replenishment at sea operation, the ammunition was piling up on the deck because it was not being struck below fast enough. The junior officer in charge of the replenishment detail said to the petty officer in charge of the ammunition handling, "Let's get it struck below!" The petty officer complied.

Why did he accept this order?

a. He understood the order.

b. He was able to carry it out.

c. It did not conflict with his own best interest.

d. All of the above

Question 2.

SN Smith, aboard an LSA, has 30 days leave coming to him when his ship returns from a deployment with the 6th Fleet. Smith is taking his 30 days leave, since his wife is expecting a baby. The ship's policy on leave, established by the CO, is to grant a maximum of 15 days leave to personnel with [illegible] ments and [illegible] informs SN Smith that he will be granted 15 days. SN Smith remains over [illegible] 15 days.

Which statement correctly explains why SN Smith did not return from leave on time?

a. SN Smith decided that the advantages and disadvantages accruing to him from not accepting authority outweighed the advantages and disadvantages accruing to him from accepting authority.

b. SN Smith did not feel that the leave policy was consistent with his own personal interests.

c. Both of the above

d. None of the above

Question 3.

[illegible]

a. Avoidance arising from honest differences of opinion

b. Distortion arising from honest differences of opinion

c. Distortion arising from personal hostility.

d. Avoidance arising from rejection

d. None of the above

Question 5.

USS Hart was the OOD in port. Stores were being [illegible]

c. [illegible] the crewmen that we will see that chow is saved, but that the stores have to be brought out.

c. Let the men go to chow, but make arrangements to have stores guarded on pier for pick-up later.

d. Dismiss the crew so they can go to chow and find a replacement crew to pick up the last load of stores.

Question 6.

On several past occasions LT Beal, a division officer aboard the USS St. Paul, had publicly scoffed and ridiculed his senior petty officers at quarters for their recommendations on a variety of subjects. LT Beal continually reminded his petty officers that they must "go-by-the-book" as he always does. Lately he has observed a lack of initiative and individuality in his division.

The basic cause of LT Beal's subordinates' lack of initiative and individuality is:

a. LT Beal's misuse of his authority

b. LT Beal's use of substitutional authority rather than essential authority

c. LT Beal's inability to communicate with his subordinates

d. LT Beal's own reputation for doing things by "the book."

Question 7.

ENS Stagg is a university graduate in electronic engineering. He is expert in the technical matters of the electronics rating and always seems to have a better way of doing a job. He constantly interrupts his subordinates while they are repairing equipment and corrects them, indicating to them that there are better procedures, which he usually demonstrates.

Which of the following statements best describes the consequences of such actions?

a. ENS Stagg is likely to obtain less than whole-hearted and willing support due to over-reliance on "position" authority.

b. ENS Stagg is likely to cause lowered morale and diminished loyalty of his subordinates due to his arrogance.

c. ENS Stagg is likely to cause resentment among his subordinates and reduction or destruction of their effectiveness due to his over-reliance on professional competence.

d. None of the above

Question 8.

ENS Tipton is JOOW underway. He is very indecisive and hesitates to give orders to the helmsman in a mooring operation. As the situation is becoming confused, the OOD says, "I have the conn," and relieves the JOOW, remedying the situation and completing the mooring operation.

Why did the OOD substitute his authority?

a. The OOD is supposed to personally carry out the mooring operations.

b. The OOD wanted to show the Captain how competently he handles the ship.

c. The OOD did not want his JOOW to look bad in front of the Captain and the enlisted men.

d. The OOD assessed the JOOW's deficiencies or weaknesses in the necessary skills.

Question 9.

The Executive Officer, to have a more efficient organization, issues a revised ship's organization and regulation manual, which changes certain division responsibilities.

The Executive Officer is exercising the principle of:

a. Substitutional authority

b. Essential authority

c. Competent authority

d. All of the above

Question 10.

Which of the following statements correctly defines the concept of essential authority?

a. The concept of essential authority is illustrated when the leader assumes that all his authority comes from his position and fails to recognize and act from his other bases of influence. He sees his position as the essential ingredient of leadership.

b. The concept of essential authority maintains that a leader's authority is essential in most organizational situations. Since there are usually several possible ways to accomplish tasks, efficiency demands an effective decision in the interest of the entire organization.

c. The concept of essential authority maintains that the leader's authority is necessary because of weaknesses or deficiencies in subordinates. Essential authority tends to be self-destructive.

d. The concept of essential authority maintains that the leader must remove all resistance to authority in order to retain the willing support of capable subordinates. Thus, he maintains his authority, which is essential to him as a leader.

Six/II/RPF INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PROGRESS CHECK ANSWER AND REMEDIATION FORM

PART Six SEGMENT II

REMEDIATION TEXT Syndactic Text, Volume VI-A

ITEM	ANSWER	REMEDIATION REFERENCE
1	d	Summary 1: Page 1
2	c	Summary 1: Pages 1-3
3	c	Summary 2: Pages 37-38
4	b	Summary 2: Pages 37-38
5	b	Summary 2: Pages 38-39
6	a	Summary 3: Pages 75-76
7	c	Summary 3: Pages 75-76
8	d	Summary 4: Pages 95-96
9	b	Summary 4: Pages 95-96
10	b	Summary 4: Pages 95-96
11		
12		
13		
14		
15		

PROGRAM FRAME ANSWERS

PART SIX

Segments I & II

PROGRAM FRAME ANSWERS

PART Six SEGMENT I TYPE Syndactic Text PAGE 1 OF 2 PAGES

FRAME OR QUESTION NUMBER	CORRECT ANSWER
PROGRAMED SEQUENCE 1	
1	c
2	a
3	d
4	c
5	a
6	a
7	b
8	c
9	a
10	c
11	b
12	c
13	c
14	c
15	d
16	d
17	b
18	b
19	c
20	d

FRAME OR QUESTION NUMBER	CORRECT ANSWER
21	b
22	b
23	b
24	b
25	a
PROGRAMED SEQUENCE 2	
1	a
2	d
3	c
4	a
5	c
6	No response
7	b
8	c
9	b
10	b
11	a
12	a
13	c
14	b
15	b

FRAME OR QUESTION NUMBER	CORRECT ANSWER
16	a
17	b
18	b
19	a
20	c
21	c
22	c
23	b
24	a
25	d
26	c
27	c
28	c
29	b
30	b
31	b
32	d
33	b
34	d
35	c
36	a
37	a

FRAME OR QUESTION NUMBER	CORRECT ANSWER
38	c
39	b
PROGRAMED SEQUENCE 3	
1	a
2	a
3	c
4	d
5	a
6	a
7	b
8	b
9	b
10	a
11	c
12	b
13	a
14	c
15	b
16	b
17	d
18	c

PROGRAM FRAME ANSWERS

PART Six SEGMENT I ~~TYPE~~ Syndactic Text PAGE 2 OF 2 PAGES

FRAME OR QUESTION NUMBER	CORRECT ANSWER
19	a
PROGRAMED SEQUENCE 4	
1	b
2	c
3	c
4	a
5	c
6	c
7	b
8	a
9	a
10	a
11	b
12	a
13	c
14	a
15	a
16	c
17	a

PROGRAM FRAME ANSWERS

PART Six SEGMENT II TYPE Syndactic Text PAGE 1 OF 2 PAGES

FRAME OR QUESTION NUMBER	CORRECT ANSWER
PROGRAMED SEQUENCE 1	
1	b
2	b
3	a
4	a
5	a
6	b
7	a
8	b
9	a
10	b
11	b
12	b
13	a
14	b
15	a
16	b
17	b
18	c
19	a
20	c

FRAME OR QUESTION NUMBER	CORRECT ANSWER
21	a
22	b
23	a
24	a-1,2,3,5,7,8 b-4,6
25	b
26	b
27	a
28	c
29	c
30	a
31	b
32	a
PROGRAMED SEQUENCE 2	
1	b
2	a
3	a
4	b
5	b
6	a
7	b

FRAME OR QUESTION NUMBER	CORRECT ANSWER
8	c
9	b
10	c
11	b
12	b
13	b
14	b
15	c
16	a
17	a-2,5 b-1,3,4
18	b
19	a
20	b
21	a
22	c
23	c
24	c
25	a
26	b
27	c
28	a
27	c

FRAME OR QUESTION NUMBER	CORRECT ANSWER
30	b
31	b
32	c
33	c
34	a
35	c
36	a
37	a
38	b
39	b
40	b
41	a
PROGRAMED SEQUENCE 3	
1	b
2	b
3	a
4	b
5	a
6	b
7	c
8	a

PROGRAM FRAME ANSWERS

PART Six SEGMENT II TYPE Syndactic Text PAGE 2 OF 2 PAGES

FRAME OR QUESTION NUMBER	CORRECT ANSWER
9	b
10	a
11	b
12	b
13	a
14	c
15	c
16	b
PROGRAMED SEQUENCE 4	
1	c
2	b
3	a
4	b
5	c
6	b
7	d
8	b
9	c
10	c
11	b